



**Do I Have to Fill Out ALL
of These Forms?
TTB Qualification as a Winery or
Bonded Wine Cellar**

**Presented by Kim Briedis,
Specialist, National Revenue Center**



5/2008



Types of Applications

- Bonded Winery (BWN)
- Bonded Wine Cellar (BWC)
- Taxpaid Wine Bottling House (TPWBH)
- Vinegar Plant (VP)
- Volatile Fruit-Flavor Concentrate Plant (FCP)

Alcohol and Tobacco Tax and Trade Bureau

- 5,619 active bonded wineries/bonded wine cellars (as of December 31, 2007)
- 915 original applications received in 2007
- 4,916 amendments received in 2007
- 11 wine application Specialists at the National Revenue Center (NRC)

- Title 26 Internal Revenue Code (IRC)
 - Subtitle E – Alcohol, Tobacco, and Certain other Excise Taxes
 - Chapter 51 – Distilled Spirits, Wines, and Beer
 - Subchapter F – Bonded and Taxpaid Wine Premises

http://www.access.gpo.gov/uscode/title26/subtitlee_chapter51_.html
- The Federal Alcohol Administration (FAA) Act
 - Implementing regulations found in Title 27 CFR

http://www.access.gpo.gov/nara/cfr/waisidx_06/27cfrv1_06.html



Required Forms

- TTB F 5120.25 – Application to Establish and Operate Wine Premises
(27 CFR 24.109, 24.111- 24.113)
- TTB F 5000.24 – Application for Basic Permit under the Federal Alcohol Administration Act
(27 CFR 24.106)
- TTB F 5120.36 – Wine Bond (27 CFR 24.146)
- TTB F 5000.29 – Environmental Information
- TTB F 5000.30 – Supplemental Information on Water Quality Considerations

Alcohol and Tobacco Tax and Trade Bureau



Additional Required Information

- Organizational Information (27 CFR 24.110):
 - Articles of incorporation or organization
 - LLC documents
 - Operating or partnership agreements
- Signing Authority:
 - TTB F 5000.8, Power of Attorney (27 CFR 24.116)
 - TTB F 5100.1, Signing Authority for Corp. Officials
 - Meeting minutes or resolution
- Diagram of Winery

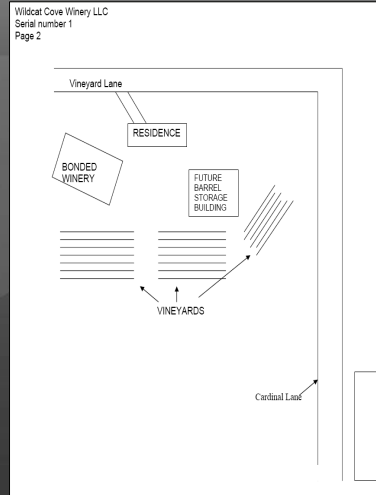
Alcohol and Tobacco Tax and Trade Bureau

Specific Instructions Sample

Wildcat Cove Winery LLC
35 Vineyard Lane
Versailles, KY 40203
January 31, 2008

Serial Number 1
Page 1 of 2

- Business Organization** – Wildcat Cove Winery LLC is a two member limited liability company organized in the Commonwealth of Kentucky. Attached are our Articles of Organization and Operating Agreement.
- Wine Premises**
Description of Premises: the premises are located at the above address and consist of 157 acres under county assessor's parcel number 015-000-007-3 Starting at point A, 175 ft east to point B; 150 ft south to point C; 100 ft west to point D; 75 ft north to point E; 75 ft west to point F; 75 ft north to starting point. The bonded premises encircle the building and provide a bonded area outside for daily operations. The first floor of the building is 5000 sq ft and will be used for producing, storing and selling wine. The second floor is used for offices. The building is a concrete structure with a shingle roof. There are no windows and 2 exterior doors secured with dead bolt locks.
Security: the premises are equipped with dead bolt locks, a motion censored alarm system as well as fire and burglar alarms.
Taxpaid Premises: With this application we elect to establish the entire premises as taxpaid storage. All taxpaid wine will be marked with placards. Attached is a drawing of the wine premises.
- Disclosure - Not Applicable**
- Trade Name** – Wildcat Cove Winery will be our DBA. Wildcat Cove and Wildcat will be our bottling trade names. All names have been registered as fictitious business names with the Commonwealth of Kentucky.
- Spirits Operations** – None
- Bonds** - Wine Bond has been secured through My Old Kentucky Home Insurance in the amount of \$5000.
- Volatile Fruit-Flavor Concentrate Operations** – None
- Other Operations** - None



TTB Expo

Common Errors on TTB Form 5120.25

- Using old or outdated forms
- Not submitting the information required by the eight “Attached Statements and Documents” on the reverse of the form
- Helpful hints:
 - Principal name on all forms must appear exactly as it is registered with the State on your organizational documents
 - Item 9A should reflect the number of pages required to address the attached statements and documents including a diagram of the winery

Alcohol and Tobacco Tax and Trade Bureau

- Application for Basic Permit Under the FAA Act
- Purpose:
 - To identify the applicant;
 - To identify the location of the premises; and
 - To determine the eligibility of the applicant to obtain a basic permit.

Alcohol and Tobacco Tax and Trade Bureau

TTB Form 5100.24 (Cont'd)

DEPARTMENT OF THE TREASURY
ALCOHOL, TOBACCO AND TAX ADMINISTRATION (TTB)
APPLICATION FOR BASIC PERMIT UNDER THE FEDERAL ALCOHOL ADMINISTRATION ACT

OMB NO. 1513-0018 (01-31-2008)

1. FULL NAME AND PREMISES ADDRESS
 Applicant: Whose Bob's LLC
 35 Vineyard Lane, Versailles, KY 40383, Fayette County

2. MAILING ADDRESS (if different from premises address)
 PO Box 23, Versailles, KY 40383, Fayette County

3. LABELING TRACE NAME(S), if any
 Whose Bob's Wine

4. BUSINESS TO BE CONDUCTED AT PREMISES ADDRESS (check applicable box(es))
 BOTTLING SPIRITS PLANT (distilleries)
 BOTTLING AND BOTTLING DISTILLED SPIRITS
 WAREHOUSING AND BOTTLING DISTILLED SPIRITS
 PROCESSING (RECTIFYING) DISTILLED SPIRITS AND WINE
 BONDED WINE PREMISES
 PROCESSING AND BLENDING WINE
 BLENDING WINE
 IMPORTING INTO THE UNITED STATES
 DISTILLED SPIRITS
 WINE
 MALT BEVERAGES
 PURCHASING FOR RESALE AT WHOLESALE
 DISTILLED SPIRITS
 WINE
 MALT BEVERAGES

5. RECEIPT OF THE SPIRITS
 IN-BUSINESS MANAGEMENT ONLY (ASAP)
 CHANGE IN OWNERSHIP (New owner, Name, address and parent number(s) of predecessor)

6. CHANGE IN CONTROL (Initial or report label date, parties with this application)
 NONE

7. OWNER INFORMATION (List each name of person, LLC member/partner, associate officer and director, and shareholders with more than 1% voting stock. Each listed person must also furnish the information in item 8.)

NAME	TITLE	% VOTING/OWNERSHIP (if applicable)	INVESTMENT IN BUSINESS (Item 6)	SOURCE OF FUNDS RECEIVED (Include loans after party's use)
Whose Mike	Managing Member	50%	\$6,000.00	Existed Because of Savings
Sharon Mike	Member	50%	\$6,000.00	Existed Because of Savings
				Electricity National Bank
				Louisville, KY

8. OWNER INFORMATION FOR EACH PERSON LISTED IN ITEM 7
 a. FULL GIVEN NAME
 Whose Robert Mike
 b. DATE AND PLACE OF BIRTH
 10-03-1959, Lexington, KY
 c. SOCIAL SECURITY OR EMPLOYER IDENTIFICATION NUMBER
 111-22-3333
 d. ARE YOU A U.S. CITIZEN?
 YES NO
 e. OTHER NAMES USED (Abaque name, nickname, etc.)
 Whose Mike
 f. ARE YOU A U.S. CITIZEN?
 YES NO
 g. RESIDENCE OVER THE LAST FIVE YEARS
 35 Vineyard Lane, Versailles, KY 40383

8. FULL GIVEN NAME
 Whose Bob's Mike
 b. DATE AND PLACE OF BIRTH
 06-01-1960, Lexington, KY
 c. SOCIAL SECURITY OR EMPLOYER IDENTIFICATION NUMBER
 222-33-4444
 d. ARE YOU A U.S. CITIZEN?
 YES NO
 e. OTHER NAMES USED (Abaque name, nickname, etc.)
 Whose Bob's Mike
 f. ARE YOU A U.S. CITIZEN?
 YES NO
 g. RESIDENCE OVER THE LAST FIVE YEARS
 35 Vineyard Lane, Versailles, KY 40383

9. FULL GIVEN NAME
 Whose Bob's Mike
 b. DATE AND PLACE OF BIRTH
 06-01-1960, Lexington, KY
 c. SOCIAL SECURITY OR EMPLOYER IDENTIFICATION NUMBER
 222-33-4444
 d. ARE YOU A U.S. CITIZEN?
 YES NO
 e. OTHER NAMES USED (Abaque name, nickname, etc.)
 Whose Bob's Mike
 f. ARE YOU A U.S. CITIZEN?
 YES NO
 g. RESIDENCE OVER THE LAST FIVE YEARS
 35 Vineyard Lane, Versailles, KY 40383

10. HAS THE APPLICANT OR ANY PERSON LISTED FOR ITEMS 8 OR 9 EVER BEEN DENIED A PERMIT, LICENSE OR OTHER AUTHORIZATION TO ENGAGE IN ANY BUSINESS TO MANUFACTURE, DISTIBUTE, IMPORT, SELL OR USE ALCOHOL PRODUCTS (including alcoholic beverages) OF ANY TYPE (including distilled spirits, wine, beer or malt) OR HAD SUCH PERMIT, LICENSE OR OTHER AUTHORIZATION REVOKED, SUSPENDED OR OTHERWISE TERMINATED?
 YES (State details of each event on a separate sheet.) NO

11. HAS THE APPLICANT OR ANY PERSON LISTED FOR ITEMS 8 OR 9 EVER BEEN ARRESTED FOR, CHARGED WITH OR CONVICTED OF ANY CRIME UNDER FEDERAL, STATE OR FOREIGN LAWS (other than traffic violations or convictions that are not license under Federal or State law.)
 YES (State details of each event on a separate sheet.) NO

12. APPLICANT'S SIGNATURE (See owner, partner, associate officer, LLC member or manager, if designated agent, below)
 Whose Bob's Mike
 7/17/2008

13. TITLE OF PERSON SIGNING
 Managing Member

14. DATE
 01/31/2008

15. E-MAIL (Internet) Address (optional)
 WhoseMike@ttb.com



TTB Form 5100.24 (Cont'd)

- Helpful hints:
 - You must list all officers, directors, members, managers and shareholders with more than 10% voting stock in Item 8 and complete Item 9 for each (including SSNs)
 - Investment in Business must be a dollar amount
 - Source of Funds must be completed and include the name, city, and State of your banking institution
 - Verification of registration for trade names or operating names must be included
 - E-mail address must be included

Alcohol and Tobacco Tax and Trade Bureau



TTB Form 5120.36

- Wine Bond
- Purpose:
 - To identify the applicant;
 - To identify the location of the premises; and
 - To cover the liability for excise taxes imposed by the IRC on wines produced or received, in transport, exported but not certified and any wine unaccounted for. The liability also applies to spirits and volatile fruit-flavor concentrate, or other commodities subject to tax.

Alcohol and Tobacco Tax and Trade Bureau

TTB Form 5120.36 (Cont'd)

OMB No. 1513-0003 (10/27/2009)

DEPARTMENT OF THE TREASURY ALCOHOL AND TOBACCO TAX AND TRADE BUREAU (TTB)		REGISTRY NUMBER
WINE BOND <small>(Print this form as a published document. Submit duplicate originals. See additional instructions on page 3.)</small>		EFFECTIVE DATE
		January 31, 2008
PRINCIPAL/OBLIGOR NAME AND PREMISES ADDRESS: <small>(Number, Street, City, State, ZIP Code)</small> Winkat Cove Winery LLC 35 Vineyard Lane Versailles, KY 40383		PRINCIPAL/OBLIGOR MAILING ADDRESS: <small>(If different than Premises Address)</small> Winkat Cove Winery LLC PO Box 23 Versailles, KY 40383
ENR: 99-999999 BOND COVERAGE (Select applicable boxes): <input checked="" type="checkbox"/> OPERATIONS \$ 5,000 <input type="checkbox"/> DEFERRAL \$ _____ TOTAL PENAL: NMF \$ 5,000		BOND KIND (Select only one): <input checked="" type="checkbox"/> ORIGINAL <input type="checkbox"/> STRENGTHENING <input type="checkbox"/> SUPERSEEDING
TITLES: Mark with square (REGIONS) and (OFFICIAL). Coverage on this bond. (Circle) other (circle) what (circle) State (circle) State BOND CATEGORY (Select only one category 1-4. "State," "Local," or "Tobacco Note/Bond") and complete corresponding items to right of heading)		
<input checked="" type="checkbox"/> SURETY: SURETY NAME: My Old Kentucky Home Insurance Company BOND NUMBER: PK00456789		
<input type="checkbox"/> CASH CHECK NUMBER(S) (if a personal check, cashier's check, money order, etc.): _____		
<input type="checkbox"/> TREASURY NOTE/BOND** TREASURY NOTE/BOND CURIP NO. _____ TREASURY NOTE/BOND INTEREST RATE: _____ %		
		TREASURY NOTE/BOND ISSUE DATE
** This bond is secured by the Treasury collateral (if name described above or by a T-Note resulting from reinvestment of the full proceeds from the T-Note described above). The collateral investment automatically will automatically occur upon maturity, unless the obligor notifies TTB in writing at least 45 days prior to the maturity date that the T-Note proceeds should not be reinvested and the obligor accepts this bond to be terminated.		
Witness our hands and seals this 31st day of January, 2008, Signed, sealed, and delivered in the presence of:		
		CORPORATIONS PARTNERSHIP, OR LLC State in which principal obligor is organized: Kentucky I, _____ In presence of principal obligor's corporate or LLC seal or check the checkbox below: <input checked="" type="checkbox"/> The corporation/LLC has no seal
My Old Kentucky Home Insurance Company SURETY NAME: _____ Winkat Cove Winery LLC SURETY REPRESENTATIVE SIGNATURE: _____ PRINCIPAL/OBLIGOR NAME: _____ Title: _____ State: _____ SURETY REPRESENTATIVE PRINTED NAME AND TITLE: _____ PRINCIPAL/OBLIGOR REPRESENTATIVE PRINTED NAME AND TITLE: _____		
		SIGNATURE, WITNESS 2 (if no seal)
		SIGNATURE, WITNESS 2 (if no seal)
DIRECTOR, NATIONAL REVENUE CENTER APPROVAL ON BEHALF OF THE UNITED STATES. I APPROVE THE FOREGOING BOND WHICH HAS BEEN EXECUTED IN DUE FORM IN COMPLIANCE WITH THE APPLICABLE LAWS, REGULATIONS, AND INSTRUCTIONS.		
SIGNATURE OF AUTHORIZED OFFICIAL, ALCOHOL AND TOBACCO TAX AND TRADE BUREAU		DATE APPROVED

TTB F 5120.36 (05/2007) Page 1 of 3

TTB Form 5120.36 (Cont'd)

PURPOSE: The above principal obligor has filed an application to operate, or is operating, the bonded wine cellar or bonded winery specified.

DEFINITIONS: Definitions pertinent to this bond:

PRINCIPAL: The proprietor of the wine premises covered by a surety bond.

OBLIGOR: The proprietor of the wine premises covered by a collateral bond.

COLLATERAL BOND: A bond secured by tangible assets such as cash or United States Treasury Bond or Note.

CONDITIONS: The above principal obligor and surety (and/or an agent) are bound independently and jointly for payment to the United States in the above amount of lawful money of the United States. In this bond, the terms principal obligor or surety include the heirs, executors, administrators, successors, and assigns of the principal obligor or surety. Additional wine bond conditions are below. If this bond covers only tax deferred, only the wine bond conditions in classes 1, 2, and 3(a), and the Additional Wine Bond Conditions below will apply.

BULK WINE WITHDRAWN FROM CUSTOMS CUSTODY: This bond covers the tax, for which the principal obligor must become liable, on all wine withdrawn from customs custody in bulk containers and transferred to internal revenue bond of a bonded wine premises.

THE PRINCIPAL/OBLIGOR MUST:

- (1) Comply with all requirements of law and regulations, now or hereafter in force, relating to the activities covered by this bond.
- (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.
- (3) (a) Pay all taxes (including any penalties and interest in respect of failure to file a timely return or to pay such tax when due) or wine removed from bonded premises.
(b) Provide 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 or wine removed from premises.
(4) Pay all taxes (including any penalties and interest) for which the principal obligor may become liable with respect to the operation of the bonded wine premises. Whether the transaction or operation on which liability is based occurred on or off the bonded wine premises, and on all wine, spirits, and related stills, vessels, containers, or any other commodity subject to tax under 20 U.S.C. Chapter 51, is transferred to, or on the bonded wine premises.
- (5) Comply with all requirements now or hereafter in force, pertaining to all wine or wine spirits received at, removed from, or returned to the bonded premises free of tax.
- (6) With respect to wine withdrawn from the bonded wine 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 the original bond with the Director, National Revenue Center, Alcohol and Tobacco Tax and Trade Bureau, 500 Main St., Ste 900, Cincinnati, OH 45226-5215, for transportation for use on vessels or aircraft, or for transfer to a foreign trade zone or for transfer to a Customs Bonded Warehouse (CBW), and not reported, used or transferred, or otherwise lawfully disposed of or accounted for, on the tax imposed thereon by law now or hereafter in force, together with penalties and interest, and

(7) As the proprietor of an adjacent wine vineyard plant, pay all taxes, now or hereafter in force (including any penalties or interest), for which the principal obligor may become liable with respect to the operation of the wine vineyard plant, and all wine now or hereafter in transit or on the premises of the wine vineyard plant.

ADDITIONAL WINE BOND CONDITIONS

CHANGE OF PREMISES: All stipulations, covenants, and agreements of this bond shall extend and apply to any change in the business address of the wine premises, the extension or contraction of the premises, including the buildings thereon, or any equipment or any other change which requires the principal obligor to file a new or amended application or notice, except where the change constitutes a change in the proprietaryship of the business, or in the location of the premises. Further, this bond will continue in effect whenever operation of the same premises is resumed from time to time following suspension of operations by an alternate proprietor.

TREASURY COLLATERAL BONDS: This bond is filed as a collateral bond secured by a Treasury Note or Bond in an approved Department of the Treasury holding account. This bond is secured by the Treasury collateral identified on the face of the bond and any Treasury collateral resulting from rollover 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 60 days prior to maturity.

DEFAULT: If the Principal/Obligor of a surety bond fails to fulfill any of the terms or conditions of this bond, the United States shall be entitled to recover its costs and expenses independently from either the principal obligor or surety, or jointly from both. The surety hereby waives any right or privilege it may have of requiring, upon notice, or otherwise, that the United States will first commence action, intervene in any such action, or any matter whatsoever already commenced, or otherwise exhaust its remedies against the principal obligor.

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.

EFFECTIVE DATE: If accepted by the United States, the date will be effective according to its terms on and after the date without notice to the obligor. Provided, that if no effective date is specified in the space provided, the date of execution will be the effective date of the bond.

Alterations made on this bond before and after execution were made with the consent of the Principal _____ and Surety _____ OR CHECK _____

INSTRUCTIONS

1. File duplicate original bonds with the Director, National Revenue Center, Alcohol and Tobacco Tax and Trade Bureau, 500 Main St., Ste 900, Cincinnati, OH 45226-5215.
2. The name, including the full given name, of each party to the bond will be given in the heading, and each party must sign the bond with such party's signature, or the bond may be executed in the party's name by an empowered attorney-in-fact.
 - a. In the case of a partnership, the partnership name followed by the names of all its partners will be given in the heading. In executing the bond, the partnership name will be typed or written followed by the word "by" and the signatures of all partners, or the signature of any partner authorized to sign the bond for the firm, or the signature of an empowered attorney-in-fact. The name of the state in which the partnership is organized will be given in the space provided above the signature lines.
 - b. If the principal obligor is an LLC, the LLC name will be given in the heading. In executing the bond, the LLC name will be typed or written followed by the word "by" and the signature and title of the managing member, any member authorized to sign the bond for the LLC, or an empowered attorney-in-fact. The name of the state in which the LLC is organized will be given in the space provided above the signature lines.
 - c. If the principal obligor is a corporation, the heading will give the corporate name, the address of the principal business office, and the address of the premises. The name of the state in which the corporation is organized will be given in the space provided above the signature lines. The bond will be executed in the corporate name, immediately followed by the signature and title of the person authorized to sign for the corporation.
3. If the bond is signed by an attorney-in-fact for the principal obligor, or by one of the members of a partnership, LLC, or association, or by an officer or other person for a corporation, there will be filed with the bond an authorized copy of the power of attorney, or resolution of the board of directors, or an excerpt of the bylaws, or other document, authorizing the person signing.

The bond to execute it for the principal obligor, unless an authorization has been previously filed with the Director, National Revenue Center, Alcohol and Tobacco Tax and Trade Bureau, in which event a statement to the effect shall be attached to the bond.

4. The signature for the surety will be attested under corporate seal. The signature for the principal obligor, if a corporation or LLC, will also be attested by the corporation or LLC, has a seal. If the corporation or LLC has no seal, that fact will be noted. Each signature will be made in the presence of two persons (except where corporate or LLC seals are affixed), who shall sign their names as witnesses.
5. A bond may be given with (a) corporate surety authorized to act as surety for the Secretary of the Treasury, (b) by the deposit of Government obligations. A Government obligation as defined in 31 U.S.C. 5001 as a public debt obligation of the United States Government and an obligation whose principal and interest is conditionally guaranteed by the Government. Such obligations include Treasury notes or Treasury bonds, or (c) by cash in the form of a check or similar legal tender made payable to the Alcohol and Tobacco Tax and Trade Bureau for deposit in an approved Department of the Treasury holding account. Contact the National Revenue Center toll free at 1-877-852-3277 regarding allowable types of collateral.
6. If any alteration or erasure is made in the bond before or after its execution, check the box next to the alteration statement on page 2 and make sure that the Principal and Surety or Sureties OR Check initial the statement.
7. The penal sum named in the bond will be in accordance with 27 CFR Part 24.
8. If the bond is approved, a copy will be returned to the principal obligor.
9. All correspondence about the filing of this form or any subsequent action, including termination, affecting this bond should be directed to the Director, National Revenue Center, Alcohol and Tobacco Tax and Trade Bureau, 500 Main St., Ste 900, Cincinnati, OH 45226-5215 or 1-877-852-3277 (toll free).

PAPERWORK REDUCTION ACT NOTICE

This request is in accordance with the Paperwork Reduction Act of 1995. The information is used by the proprietor, or the proprietor and a surety company, as a contract to ensure tax payment. The information requested is required to obtain a benefit and is mandatory by statute (20 U.S.C. 5172).

The estimated average burden associated with this collection of information is 1 hour per respondent or respondent, 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 Office, Regulations and Rulings Division, Alcohol and Tobacco Tax and Trade Bureau, Washington, DC 20203.

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.



Common Errors on TTB Form 5120.36

- EIN missing or incorrect
- Failure to sign the bond
- No corporate seal
- No witness signatures

Alcohol and Tobacco Tax and Trade Bureau



Changes to the Bond

- As of December 1, 2006, the National Revenue Center can make certain corrections to the bond forms
- The corrections require a signed, Correction Permission Statement from the principal and surety
- The statement can be faxed

Alcohol and Tobacco Tax and Trade Bureau

Correction Permission Statement

Correction Permission Statement For Surety Bond Principal

By this statement, I hereby grant employees of the National Revenue Center, Alcohol and Tobacco Tax & Trade Bureau, permission to make the following necessary corrections, additions, and deletions to my bond, TTB F 5120.36, Wine Bond, with an execution date of January 31, 2007 and an effective date of January 31, 2007.

Items to be corrected / added / deleted:

1. Insert EIN 99-9999999

Principal Name: Winery
Principal Address: 123 Winery Road
Winery, CA 94555

Name of Person Who Signed the Bond and Is Granting this Permission: Principal Smith

Signature of Above Individual _____

Date _____

Correction Permission Statement For Surety Bond Surety

By this statement, I hereby grant employees of the National Revenue Center, Alcohol and Tobacco Tax & Trade Bureau, permission to make the following necessary corrections, additions, and deletions to my bond, TTB F 5120.36, Wine Bond, with an execution date of January 31, 2007 and an effective date of January 31, 2007.

Items to be corrected / added / deleted:

1. Insert EIN 99-9999999

Principal Name: Winery
Principal Address: 123 Winery Road
Winery, CA 94555

Name of Person Who Signed the Bond and Is Granting this Permission: Ina Bondwriter, Attorney-in-Fact

Signature of Above Individual _____

Date _____



TTB Form 5000.29

- Environmental Information
- Purpose:
 - To identify the applicant;
 - To identify the location of the premises; and
 - To determine any environmental issues pursuant to the requirements of The National Environmental Policy Act, 42 U.S.C. 4332.

Alcohol and Tobacco Tax and Trade Bureau

TTB Form 5000.30 (Cont'd)

Form Approval 2006 No. 1523-0023 (01/20/06)

**DEPARTMENT OF THE TREASURY
ALCOHOL AND TOBACCO TAX AND TRADE BUREAU
SUPPLEMENTAL INFORMATION ON WATER QUALITY CONSIDERATIONS
UNDER 25 U.S.C. 1341(b)**

INDUSTRIAL ROAD

1. DISPERSE FROM: Applicant will file in a jurisdiction (state) if applicable to you activity. If necessary, continue on reverse side of this form or a separate sheet. Your address as indicated in this application is verified or reviewed by the appropriate State Water Quality Agency in compliance with Section 2 of the Federal Water Pollution Control Act (33 U.S.C. 1362).

2. NAME: Applicant will give the name of the facility located in the jurisdiction of the activity. (Name, address, telephone number, and email of the owner, operator, or other person who controls the facility. This form will be reviewed by the appropriate State Water Quality Agency in compliance with Section 2 of the Federal Water Pollution Control Act (33 U.S.C. 1362).)

3. DISPERSEMENT: A brief description of the activity and the location of the facility. The use of this form will be restricted to the applicant.

4. IDENTIFY THE ACTIVITY TO BE CONDUCTED IN WHICH THE ALCOHOL AND TOBACCO TAX AND TRADE BUREAU HAS AN INTEREST:

1. FORM NUMBER	2. APPLICATION DATE	3. SOCIAL NUMBER
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5. NAME AND RESIDENTIAL BUSINESS ADDRESS OF APPLICANT (Provide street, city, county, state, and ZIP code)

6. PLANT ADDRESS (If different from address in item 5)

7. DESCRIBE THE ACTIVITY TO BE CONDUCTED IN WHICH THE ALCOHOL AND TOBACCO TAX AND TRADE BUREAU HAS AN INTEREST:

8. DESCRIBE ANY DISCHARGE OR POTENTIAL DISCHARGE OF WASTEWATER WHICH MAY RESULT FROM THE CONDUCT OF THE ACTIVITY DESCRIBED IN ITEM 7. INCLUDE THE BIOLOGICAL, CHEMICAL, THERMAL, OR OTHER CHARACTERISTICS OF THE DISCHARGE AND THE LOCATION OF WHICH SUCH DISCHARGE MAY ENTER NAVIGABLE WATERS.

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

10. 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.

11. I certify that I have examined the information on this form and I am a duly authorized officer or employee of the Department of the Treasury, Alcohol and Tobacco Tax and Trade Bureau.

12. OFFICIAL USE ONLY

TTB F 5000.30 (01/20/06)


PAVEMENT PRODUCTION ACT NOTICE

This request is in accordance with Section 3007, Public Law 94-511, Department Reorganization Act of 1976. This information collection is used by TTB to determine whether a certification from a State of such state authority is needed for discharge of a fluid into navigable water of the U.S. This information is required to obtain a permit.

To submit a permit application with the collection of information, it must be submitted on a separate sheet of paper, identifying the applicant, location, contact information, the activity, and the location of the discharge. For more information, contact the Director of the 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 currently valid OMB control number.

TTB F 5000.30 (01/20/06)



Signing Authority

- TTB Form 5000.8, Power of Attorney or TTB Form 5100.1, Signing Authority for Corporate and LLC Officials
- Purpose:
 - To ensure that only duly authorized individuals are signing documents or representing the applicant.

Alcohol and Tobacco Tax and Trade Bureau

Additional Requirements

- Organizational Documents — Copies of articles of incorporation, articles of organization, partnership agreements, operating agreements, by-laws, etc.
- Deed and/or Lease Agreement
- Source of funds documentation
- Digital photographs of premises

NRC Processing

- Applications are date stamped, entered into a database, sorted by commodity, and distributed to the appropriate NRC unit for processing by a Specialist.
- The NRC cannot process incomplete applications. Your application packet may be returned to you due to missing forms or incomplete information.
- The Specialist will contact the applicant to conduct an interview to review the submitted application, make corrections or additions, and discuss supplemental information.



NRC Processing (Cont'd)

- Once the application is perfected and the interview is complete:
 - A permit may be approved and issued,
 - The application may be forwarded to Trade Investigation Division for an investigation, or
 - The specialist may recommend withdrawal or disapproval.

Alcohol and Tobacco Tax and Trade Bureau



Contact Information

- National Revenue Center
 - Main Toll-Free: 1-877-TTB-FAQS
(1-877-882-3277)
 - Main Local Number: 513-684-3334
 - Wine Unit: 513-684-6882
 - Web site: www.ttb.gov

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