

FOR TTB USE ONLY

**DEPARTMENT OF THE TREASURY  
ALCOHOL AND TOBACCO TAX AND TRADE BUREAU  
APPLICATION FOR AND CERTIFICATION/EXEMPTION OF  
LABEL/BOTTLE APPROVAL**

*(See Instructions and Paperwork Reduction Act Notice Below)*

1. REP. ID. NO. *(If any)*

2. \_\_\_\_\_

**PART I - APPLICATION**

8. NAME AND ADDRESS OF APPLICANT AS SHOWN ON PLANT REGISTRY, BASIC PERMIT, OR BREWER'S NOTICE. INCLUDE APPROVED DBA OR TRADENAME IF USED ON THE LABEL *(Required)*

4. SERIAL NUMBER *(Required)*

5. TYPE OF PRODUCT *(Required)*

YEAR	-				

WINE  
 DISTILLED SPIRITS  
 MALT BEVERAGES

6. BRAND NAME *(Required)*

8a. MAILING ADDRESS, IF DIFFERENT

7. FANCIFUL NAME *(If any)*

9. E-MAIL ADDRESS

10. FORMULA/SOP NO. *(If any)*

11. LAB. NO. & DATE/PRE-IMPORT NO. & DATE *(If any)*

18. TYPE OF APPLICATION *(Check applicable box(es))*

a.  CERTIFICATE OF LABEL APPROVAL  
b.  CERTIFICATE OF EXEMPTION FROM LABEL APPROVAL  
*"For sale in \_\_\_\_\_ only" (Fill in State abbreviation)*  
c.  DISTINCTIVE LIQUOR BOTTLE APPROVAL. TOTAL BOTTLE CAPACITY BEFORE CLOSURE \_\_\_\_\_  
*(Fill in amount)*  
d.  RESUBMISSION AFTER REJECTION  
TTB ID \_\_\_\_\_

12. NET CONTENTS

13. ALCOHOL CONTENT

14. WINE APPELLATION *(If on label)*

15. WINE VINTAGE DATE *(If on label)*

16. PHONE NUMBER  
( )

17. FAX NUMBER  
( )

19. SHOW ANY WORDING (a) APPEARING ON MATERIALS FIRMLY AFFIXED TO THE CONTAINER (e.g., caps, celoseals, corks, etc.) OTHER THAN THE LABELS AFFIXED BELOW, OR (b) BLOWN, BRANDED, OR EMBOSSED ON THE CONTAINER (e.g., net contents, etc.). THIS WORDING MUST BE NOTED HERE EVEN IF IT DUPLICATES PORTIONS OF THE LABELS AFFIXED BELOW. ALSO, PROVIDE TRANSLATIONS OF FOREIGN LANGUAGE TEXT APPEARING ON LABELS.

**PART II - APPLICANT'S CERTIFICATION**

Under the penalties of perjury, I declare: that all statements appearing on this application are true and correct to the best of my knowledge and belief; and, that the representations on the labels attached to this form, including supplemental documents, truly and correctly represent the content of the containers to which these labels will be applied. I also certify that I have read, understood, and complied with the conditions and instructions which are attached to an original TTB F 5100.31, Certificate/Exemption of Label/Bottle Approval.

20. DATE OF APPLICATION    21. SIGNATURE OF APPLICANT OR AUTHORIZED AGENT    22. PRINT NAME OF APPLICANT OR AUTHORIZED AGENT

**PART III - TTB CERTIFICATE**

This certificate is issued subject to applicable laws, regulations, and conditions as set forth in the instructions portion of this form.

23. DATE ISSUED    24. AUTHORIZED SIGNATURE, ALCOHOL AND TOBACCO TAX AND TRADE BUREAU

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QUALIFICATIONS

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AFFIX COMPLETE SET OF LABELS BELOW *(See General Instructions 4, 6, and 7)*

## I. PURPOSE OF THIS CERTIFICATE

This certificate is required for, and authorizes you to, bottle and remove the product identified on the certificate from the bonded area of the plant(s) identified on the certificate where it was bottled or packed, or from Customs' custody. NOTE: This certificate does not constitute trademark protection.

## II. CONDITIONS OF THIS CERTIFICATE

- A. This certificate does not relieve you from liability for violations of the Federal Alcohol Administration Act, the Alcoholic Beverage Labeling Act of 1988, the Internal Revenue Code, related regulations, or rulings.
- B. You must ensure that: 1) all the information on your application is true and correct and 2) any and all information (including words, text, illustrations, graphics, etc.) shown or presented on the label(s) affixed to this certificate is truthful, accurate and not misleading.

## III. INSTRUCTIONS FOR COMPLETING AND SUBMITTING THIS APPLICATION

NOTE: Applications may be filed electronically by accessing the TTB website at <https://www.ttbonline.gov/colasonline/>

### A. GENERAL INSTRUCTIONS

1. You must print or type your application and sign it in ink. Submit your application in duplicate to the ADVERTISING, LABELING AND FORMULATION DIVISION, ALCOHOL AND TOBACCO TAX AND TRADE BUREAU, 1310 G Street, N.W., Fourth Floor, Suite 400, Washington, DC 20220. (paper filers only)
2. You may use exact copies of TTB F 5100.31 in lieu of an original form. Copies do not have to include the instruction page; however, you remain subject to all the provisions and instructions outlined on the form. We suggest that you use an original form whenever possible. See Section IV for how to obtain a supply of forms. (paper filers only)
3. Generally, the person, firm, or corporation who will bottle or pack the product must file the application. However, for a product to be imported in containers intended for sale at retail, the application must be filed by the importer. In the case of a product to be relabeled, the application must be filed by the wholesaler.
4. You must firmly affix (with glue or tape - DO NOT STAPLE) all labels that will appear on the container. Printer's proofs and photocopies are acceptable. If labels are in the form of can flats, photocopies are requested. (paper filers only)
5. You may NOT make pen and ink changes, white out information, type-over, cross out information, and/or paste information over labels affixed to this application. (paper filers only)
6. You must reduce oversized labels so that they fit on the space provided. You must indicate in Item 19 that labels have been reduced and the percentage of reduction.
7. If your label is etched, embossed, or painted directly onto the container, or is clear acetate, you must submit a photograph of a filled representative bottle so that we may determine contrast and legibility of mandatory information. Photos should clearly show each side of the container that contains label information.

### B. SPECIFIC INSTRUCTIONS

- ITEM 1. Applicable only for applications submitted by a third party. The third party will complete this item.
- ITEM 2. Enter your plant registry number, basic permit number, or brewer's notice number as applicable. Wholesalers applying to relabel should enter the wholesaler's basic permit number. If you intend to bottle at more than one of your locations (distilled spirits and malt beverages only), show the registry number/brewer's notice number of each location where the product will be bottled. In this instance, Item 8 should reflect your principle place of business.
- ITEM 3. Indicate the source of product by checking the appropriate box.
- ITEM 4. You must assign a sequential serial number beginning with the last two digits of the current calendar year to each application and its duplicate, not to exceed 6 characters; e.g., 02-1, 02-2, etc.
- ITEM 5. Indicate the type of product by checking the appropriate box. For Sake, check the "wine" box.
- ITEM 6. A brand name is the name under which the product is sold. If the product is not sold under a brand name, the name of the bottler, packer, or importer becomes the brand name.
- ITEM 7. A fanciful name is a name that further identifies the product and is required for some specialty products. It is optional for other products.
- ITEM 8. Indicate your company name and current physical address exactly as they appear on your plant registry, basic permit, or brewers notice (include your approved DBA or trade name if you use it on the label). In the case of distilled spirits and malt beverages bottled at more than one location, indicate your principle place of business address. A separate mailing address may appear directly under the required name and address in Item 8a.
- ITEM 8a. You may use Item 8a to reflect additional registry numbers/brewer's notice numbers if the space provided in item 2 is insufficient. In this instance, cross out the words "Mailing Address, if different."
- ITEM 9. Provide the e-mail address of the person responsible for the application.
- ITEM 10. For any domestic wine and distilled spirits product requiring a formula, you must show the formula number. You must also attach a copy of the approved formula (except for vermouth) to your application. For domestic formulated products not manufactured by the applicant, a copy of the approved formula is requested, but you may substitute a statement giving the name and address of the producer and the formula number. For any domestically produced flavored malt beverage product or any domestically produced malt beverage marketed under any name other than beer, lager, stout, etc., you must submit a copy of the approved statement of process (SOP). You must also show the SOP number. Do not submit your application for label approval until your formula or SOP is approved.
- ITEM 11. For products requiring a lab analysis, indicate the lab number and date of approval. For products requiring pre-import approval, indicate the pre-import number as indicated on the letter. A copy of this letter must be attached to the application at the time of submission. Do not submit your application for label approval until your pre-import letter is received.
- ITEM 12. Indicate the size (net contents) covered by label(s) affixed to the application. You may submit a range of sizes, if known, at the time of submission of the application. You must indicate in ITEM 19 if the net contents are blown, branded, or embossed in or on the container.
- ITEM 13. Enter the alcohol content stated on the label.
- ITEM 14. Fill in only if a wine appellation of origin is stated on the label.
- ITEM 15. Fill in only if the wine vintage date is stated on the label.
- ITEM 16. Provide the phone number of the person responsible for the application.
- ITEM 17. Provide the fax number of the person responsible for the application.
- ITEM 18. You must check "a" OR "b". You must also check "c" if you intend to bottle distilled spirits in a distinctive container. You must check "d" and enter the TTB ID number as shown in the upper left hand corner of the rejected application if you are submitting an application that was previously rejected. You must also check a, b, or c to indicate the type of application you are resubmitting. If you check "b": 1) you may only sell your product in the State where it is bottled AND 2) the statement "For sale in \_\_\_\_\_ only" (using State abbreviation) must appear on each container. We do not issue certificates of exemption for products imported in bottles or for malt beverages. If you check "c," your application must include photographs of the front and back of the distinctive container.
- ITEM 19. The instructions for this item are on the front of the form.
- ITEM 20. Enter date application is prepared or submitted.
- ITEM 21. The applicant or authorized agent must sign in this block.
- ITEM 22. Signer's name must be printed in this block.

#### IV. CONTACT INFORMATION

##### For Additional Information Contact:

Advertising, Labeling and Formulation Division (ALFD)  
Alcohol and Tobacco Tax and Trade Bureau  
1310 G. Street, N.W., Fourth Floor, Suite 400,  
Washington, DC 20220  
Phone (202) 927-8140  
1-866-927-2533 (Toll Free)  
E-mail address: alfd@ttb.gov

##### For A Supply Of This Form (TTB F 5100.31) Contact:

The form may be ordered electronically by accessing the TTB Web site at  
<http://www.ttb.gov/forms/index.htm>  
The form may be electronically accessed at the  
TTB Web site at <http://www.ttb.gov/forms/pdfs/5100/f51003l.pdf>

#### V. ALLOWABLE REVISIONS TO APPROVED LABELS

The label(s) identified on and affixed to this certificate may be revised without re-approval as follows:

**NOTE:** Any revision(s) you make to your approved label(s): 1) may not compromise the truthfulness or accuracy of the information presented on the label AND 2) may not be misleading as to the identity, origin, age, or other characteristics of the product.

YOU MAY...	REVISION APPLIES TO			COMMENTS
	WINE	DISTILLED SPIRITS	MALT BEVERAGE	
1. Delete any non-mandatory label information	YES	YES	YES	Includes words, text, illustrations, graphics, etc.
2. Change the shape or proportionate size of labels	YES	YES	YES	e.g., Change in size and shape of a bottle designed for a tall 3 liter bottle to fit a short, flat 500 mL bottle
3. Change the stated percentages for varietal and/or appellation	YES	NO	NO	Must total 100%
4. Change the net contents statement	YES	YES	YES	Change the net content statement, except that separate applications must be submitted for containers of 237 mL or less, containers over 237 mL to 3 liters, and containers over 3 liters, to conform with the Alcohol Beverage Labeling Act of 1988.
5. Change the stated alcohol content	YES	YES	*	Change may not alter: < Class and type < Taxable grade (for wine only) *See Item #6 below
6. Add, delete, or change the stated alcohol content	NO	NO	YES	Alcohol content is non-mandatory information for malt beverages
7. Add, delete, or change the state bottle deposit information	YES	YES	YES	
8. Add, delete, or change the statements required by the state in which the beer is to be sold	NO	NO	YES	
9. Change the name and/or tradename of responsible winery, DSP, brewery, or importer	YES	YES	YES	The name/tradename must appear on the Basic Permit or Brewer's Notice under which the certificate is issued
10. Change the statement of percentage of neutral spirits and name of commodity from which produced	NO	YES	NO	Change may not alter the class and type
11. Change the stated mandatory period of age	NO	YES	NO	Change may not alter the class and type
12. Change the stated mandatory amounts of sugar at harvest and/or residual sugar	YES	NO	NO	See ATF Ruling 82-4 to determine when sugar statements are mandatory
13. Change the stated mandatory average analysis	NO	NO	YES	Changes must be in compliance with ATF Ruling 80-3
14. Change the stated mandatory caloric content	YES	YES	NO	
15. Change the name and/or address of the foreign producer, bottler, or shipper	YES	YES	YES	The producer, bottler, or shipper must be located in the same country originally shown
16. Change or delete stated vintage date	YES	NO	NO	If vintage date is deleted no reference to "Vintage" may be made on any label or other materials (e.g. caps, celloseals, corks, etc.) affixed to the bottle
17. Add, delete, or change the name and/or address or trademark (or both) of the wholesaler, retailer, or persons for whom the product is imported or bottled	YES	YES	YES	You may add this information by adding another label stating such information provided that no reference is made on the additional label to the product or any of its characteristics
18. Change or delete stated bottling date	YES	YES	YES	
19. Change or delete stated amount of acid and/or pH level	YES	NO	NO	
20. Add or delete bonded winery number	YES	NO	NO	The bonded winery number must appear in direct conjunction with the bottler's name and address
21. Add, delete, or change UPC code	YES	YES	YES	Addition or change of UPC Code must be in compliance with Industry Circular 77-23
22. Add, delete, or change a Web site address, phone number, fax number, or zip code	YES	YES	YES	
23. Change or delete a lot or batch identification number or other serial numbers	YES	YES	YES	
24. Add, delete, or change trademark and/or copyright symbols i.e., TM, ©, ®	YES	YES	YES	

If you have questions about what is mandatory information and what is non-mandatory information, please contact ALFD. See Section IV for how to contact ALFD.

#### PAPERWORK REDUCTION ACT NOTICE

This request is in accordance with the Paperwork Reduction Act of 1995. We collect this information to verify your compliance with the Federal laws and regulations we administer for the labeling of alcohol beverages. The information is mandated by statute (27 U.S.C. 205) and is used to obtain a benefit.

We estimate 31 minutes as the average burden for you to complete this form depending on your individual circumstances. You may comment to us about the accuracy of this burden estimate and suggest ways for us to reduce the burden. Address your comments or suggestions to: Reports Management Officer, Regulations and Rulings Division, Alcohol and Tobacco Tax and Trade Bureau, Washington, DC 20220.

We may not conduct this collection of information, and you are not required to respond to this request, unless it displays a valid, current OMB control number.

#### PRIVACY ACT STATEMENT

We provide this information to comply with Section 3 of the Privacy Act of 1974 (5 U.S.C. 552a(e)(3)).

We require this information under the authority of 27 U.S.C. 205(e). You must disclose this information so we may verify your compliance with the Federal laws and regulations we administer for the labeling of alcohol beverages.

We use this information for the purposes described in the preceding paragraph. In addition, the information may be disclosed to other Federal, State, and local law enforcement and regulatory agency personnel to verify information on the application and to aid in the performance of their duties. The information may further be disclosed to the Justice Department if it appears that the furnishing of false information may contribute to a violation of Federal law. Disclosure may otherwise be made pursuant to the routine uses most recently published in the Federal Register for ATF's Regulatory Enforcement Records System (Treasury/ATF.008).

If you fail to supply complete information, then there will be a delay in the processing of your application.