

FOR ATF USE ONLY			DEPARTMENT OF THE TREASURY		
ID			BUREAU OF ALCOHOL, TOBACCO AND FIREARMS		
CT	OR	AP	APPLICATION FOR AND CERTIFICATION/EXEMPTION OF LABEL/BOTTLE APPROVAL		
<i>(See Instructions and Paperwork Reduction Act Notice on Back)</i>					

PART I - APPLICATION

1. VENDOR CODE <i>(Required)</i>		2. SERIAL NUMBER <i>(Required)</i>		7. NAME AND ADDRESS OF APPLICANT AS SHOWN ON PLANT REGISTRY, BASIC PERMIT OR BREWER'S NOTICE <i>(Required)</i>	
		YEAR			
		-			
3. BRAND NAME <i>(Required)</i>					
4. CLASS AND TYPE <i>(Required)</i> <i>(Includes wine varietal designation, if applicable)</i>					
5. FANCIFUL NAME <i>(If any)</i>					
6. PLANT REGISTRY/BASIC PERMIT NO./BREWER'S NO. <i>(Required)</i>					
7a. MAILING ADDRESS, IF DIFFERENT					
8. FORMULA NO. <i>(If any)</i>		9. LAB. NO./DATE		10. NET CONTENTS	
11. PHONE NUMBER		12. AGE <i>(Distilled Spirits)</i>		13. ALCOHOL CONTENT	
()					
14. VINTAGE <i>(Wine products only, if stated on label)</i>		15. FAX NUMBER		16. TYPE OF APPLICATION <i>(Check applicable box)</i>	
		()		a. <input type="checkbox"/> CERTIFICATE OF LABEL APPROVAL	
				b. <input type="checkbox"/> CERTIFICATE OF EXEMPTION FROM LABEL APPROVAL <i>"For sale in _____ only" (Fill in State abbreviation)</i>	
				c. <input type="checkbox"/> DISTINCTIVE LIQUOR BOTTLE APPROVAL. TOTAL BOTTLE CAPACITY BEFORE CLOSURE _____ <i>(Fill in amount)</i>	
17. SHOW ANY WORDING (a) APPEARING ON MATERIALS FIRMLY AFFIXED TO THE CONTAINER (e.g., caps, celloseals, corks, etc.) OTHER THAN THE LABELS AFFIXED BELOW, OR (b) EMBOSSED ON THE CONTAINER. 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 appear on the reverse of an original ATF F 5100.31, Certificate/Exemption of Label/Bottle Approval.

18. DATE OF APPLICATION	19. SIGNATURE OF APPLICANT OR AUTHORIZED AGENT	20. TYPE NAME OF APPLICANT OR AUTHORIZED AGENT

PART III - ATF CERTIFICATE

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

21. DATE ISSUED	22. AUTHORIZED SIGNATURE, BUREAU OF ALCOHOL, TOBACCO AND FIREARMS

FOR ATF USE ONLY

QUALIFICATIONS

EXPIRATION DATE *(If any)*

AFFIX COMPLETE SET OF LABELS BELOW

I. CONDITIONS

1. This certificate is issued for ATF use only. This certificate does not constitute trademark protection.
2. This certificate does not relieve any person 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. This certificate authorizes use of the labels submitted in conjunction with the application for certificate only where the labels are used in accordance with the provisions of applicable laws and regulations.
3. Except as further provided in condition 4 below this certificate covers the products identified in the application for certificate. It authorizes the removal of these products for introduction into commerce from the plant where bottled or packed, or from Customs custody. This certificate may be used to remove these products only upon the following conditions:
 - a. ATF's approval of the trade name of the bottler or importer used on the label. (**NOTE: Trade name approval does not constitute approval as a brand name for labeling purposes.**)
 - b. In the case of an Application for Exemption from Label Approval, the exclusive disposition of the product noted on the certificate must be in the state noted in Item 16b. Each container must bear the statement "For Sale in (State noted in Item 16b) only."
4. Certification/Exemption of Label/Bottle Approval covers products in containers bearing a set of labels identical to the set affixed to the front of this certificate. It also covers products in containers bearing labels differing in only the following ways from those affixed to this certificate. IF YOU WISH TO MAKE A CHANGE THAT IS NOT LISTED BELOW, A NEW LABEL APPROVAL IS REQUIRED.
 - a. In shape or proportionate size of labels.
 - b. In net content statement. However, the Bureau recommends submission of separate applications for containers of 237 ml or less, containers over 237 ml to 3 liters, and containers over 3 liters to insure compliance with the Alcoholic Beverage Labeling Act of 1988 (*Government Warning Statement*).
 - c. In name and/or tradename of responsible winery, DSP, brewery or importer provided the name/tradename has been added to original Basic Permit or Brewers Notice under which the original label was issued.
 - d. In name and/or address of the foreign producer, bottler or shipper, if the producer, bottler, or shipper is located in the same country originally shown.
 - e. In statement of percentage of neutral spirits and name of commodity from which produced provided it does not alter the class and type.
 - f. In alcohol percentage by volume on distilled spirits unless it alters the class and type.
 - g. In period of age stated unless it alters the class and type of the product.
 - h. In statement of age and percentage on distilled spirits provided it does not alter the class and type.
 - i. In stated vintage date of wine or deletion of vintage year. NOTE: 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. Vintage dates may NEVER BE ADDED, ONLY CHANGED OR DELETED.
 - j. By adding a statement of net contents to the brand, back, or other label corresponding to the required statement shown elsewhere on the labels or blown into the bottle.
 - k. In the case of malt beverages, by adding, deleting, or changing a statement of alcoholic content, or other statements required by the state in which the beverage is to be sold.
 - l. By adding, deleting, or changing on the brand or back label, the name and address or trademark (*or both*) of the wholesaler, retailer, or persons for whom imported or bottled, or by adding another label stating such information provided that no reference is thereby made to the product or any of its characteristics.
 - m. In stated amount of sugar at harvest or residual sugar of wines.
 - n. In stated bottling date.
 - o. In the case of wines, a change in the alcohol content statement, if within the prescribed limitation for that class or type of wine and within the same taxable grade.
 - p. In stated amount of acid or pH level. One or both may be deleted from label.
 - q. In adding bonded winery number in direct conjunction with the bottler's name and address.
 - r. In stated percentages for varietal and/or appellation. (*Must equal 100%*).
 - s. In stated caloric content for wine or distilled spirits.
 - t. In stated average analysis for malt beverages provided change is in compliance with Industry Circular 80-5.
 - u. By adding or changing UPC Code as permitted by Industry Circular 77-23.
 - v. By adding, deleting, or changing a web site address, phone number, fax number or zip code.

- w. By deleting or changing a lot or batch identification number or other serial numbers.

For any additional information, please contact the Product Compliance Branch at (202) 927-8140, or write to us at the address noted in Item 1 of the General Instructions.

II. GENERAL INSTRUCTIONS

1. **INSTRUCTIONS.** Applications MUST be printed or typed, signed in ink and submitted in duplicate to the Product Compliance Branch, Bureau of Alcohol, Tobacco and Firearms, Washington, DC 20226. Exact copies of ATF F 5100.31 may be used in lieu of an original blank form. If submitting a copy, you do not need to include a copy of the reverse of the form, although you remain subject to the instructions and conditions contained on the reverse. However, it is suggested that original ATF F5100.31 be used whenever possible. A supply of forms may be obtained by contacting the ATF Distribution Center at (703) 455-7801. Applications must generally be filed by the person, firm or corporation who will be the bottler or packer of the distilled spirits, wine, or malt beverages. However, for products to be imported in containers intended for a sale at retail, applications must be filed by the importer. All applications for approval of distinctive liquor bottles must include photographs of both the front and back of the bottle. CERTIFICATES OF EXEMPTION ARE NOT ISSUED FOR PRODUCTS IMPORTED IN BOTTLES OR FOR MALT BEVERAGES.

2. **LABELS.** All labels that will appear on the bottle must be firmly affixed to the form with GLUE or TAPE (*DO NOT STAPLE*). Printer's proofs and photocopies are acceptable. If labels are in the form of can flats, a photostatic copy is requested. Pen and ink changes, whitening out information, type-overs, crossing out information, and/or pasting labels over labels are prohibited. Oversize labels must be reduced prior to affixing to the application form. Indicate in Item 17 that labels have been reduced and the percentage of reduction. A filled representative sample bottle must accompany each application covering etched/embossed containers or applications with acetate (*clear*) labels.

III. SPECIFIC INSTRUCTIONS

ITEM

1. If you have not been assigned a vendor code number by ATF, leave this blank. Submit this application form with a copy of your ATF Basic Permit or Brewers Notice (*New Filers*) so that a vendor code number can be assigned to you. Use this number on all future applications.

If you have several vendor codes assigned to your company, use the vendor code issued for the address at which bottling, relabeling or importation will occur.
2. 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., 98-1, 98-2, etc.
3. 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.
4. Specify exact designation under the standards of identity in 27 CFR Parts 4, 5, and 7e. g., Gin, Distilled Spirits Specialty, Other Than Standard Wine, Beer, Flavored Malt Beverage, Chardonnay, etc.
5. A fanciful name is a name which further identifies the product and is required for some specialty products. It may be used for other products.
6. This item will reflect the type of business filing the application: (a) the plant registry number if the applicant is a bottler or packer of distilled spirits or wine, (b) the brewer's notice number if the applicant is a brewer or (c) the importer's basic permit number if the applicant is an importer of distilled spirits, wine or beer. Wholesalers applying to relabel should reflect the wholesaler's basic permit number in this item.
7. Indicate your company name and current address exactly as they appear on your Plant Registry, Brewers Notice or Basic Permit (*include approved DBA or trade name used on label*). A separate mailing address may appear directly under the required name and address in item 7a.
- 7a. If item 7a does not pertain to you, use this space to reflect multiple plant locations. Cross out the words "Mailing Address, if different".
8. For any domestic wine and distilled spirits product requiring a formula, show the formula number. Attach a copy of the approved formula (*except for vermouth*) with the application for label approval. For domestic products produced under a formula which was not manufactured by the applicant, a copy of the approved formula is requested but a statement giving the name and address of the producer and the formula number may be substituted.

For any domestically produced flavored malt beverage product or any domestically produced malt beverage marketed under any name other than beer, lager, stout, etc., a copy of the approved statement of process or formula is required.

If your product requires a formula or statement of process (SOP), please do not submit your application for label approval until your formula or SOP is approved; we will return any which are submitted without an approved formula or approved SOP when required.
9. For any imported products requiring pre-import approval, show the lab number and date of letter. A copy of this letter must be attached to the label application at the time of submission.
10. 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.

The recordkeeping requirement for this information collection is 3 years.

PAPERWORK REDUCTION ACT NOTICE

This request is in accordance with the Paperwork Reduction Act of 1995. This information collected is used to determine whether a label for alcoholic beverages states required information and does not contain any prohibited information or material as required by Federal laws and regulations administered by ATF. The information required is mandatory by statute (27 U.S.C. 205) and is used to obtain a benefit.

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, Document Services Branch, Bureau of Alcohol, Tobacco and Firearms, Washington, DC 20226.

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.