

**DEPARTMENT OF THE TREASURY  
ALCOHOL AND TOBACCO TAX AND TRADE BUREAU (TTB)  
APPLICATION FOR AMENDED PERMIT TO MANUFACTURE  
TOBACCO PRODUCTS OR PROCESSED TOBACCO OR TO  
OPERATE AN EXPORT WAREHOUSE**

FOR TTB USE ONLY

Number

Date

1. This application is submitted to request an amendment to my TTB permit number \_\_\_\_\_ to conduct business as a:

Manufacturer of Tobacco Products     Manufacturer of Processed Tobacco     Proprietor of an Export Warehouse

2. Name and address shown on my permit:

3. My employer identification number is (*Read instruction F*):

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4.  I have attached my permit to this TTB form for amendment (*Read instruction G*).

OR

I have NOT attached my permit to this application because: \_\_\_\_\_

5. a.  I have changed my legal name (*Read instruction H*)

b.  I am removing or adding trade name(s) as follows: (*Read instructions I and J*)

Remove trade name(s) from my permit: \_\_\_\_\_

Add trade name(s) to my permit: \_\_\_\_\_

c.  I have attached the document(s) to show this change (such as amended articles of incorporation or trade name certificate).

OR

I have NOT attached the document(s) to show this change because: \_\_\_\_\_

6.  I am reporting that the **mailing** address of my premises has changed (but not its physical location) to:

My new **Mailing** address is:

7.  I intend to relocate my premises as a Manufacturer of Processed Tobacco. (*Read instruction K*)

My new **Manufacturer of Processed Tobacco premises** address is:

8. I intend to  relocate,  extend, or  curtail the premises where I **manufacture tobacco products**. *(Read instruction L)*

I intend to  relocate,  extend, or  curtail my **export warehouse premises**. *(Read instruction L)*

My new **premises** address is:

I have attached a description and, if necessary, a diagram of my tobacco products factory or export warehouse.

I have NOT attached a description or diagram for the following reason: \_\_\_\_\_

9. I declare that I have read the instructions for this form including the need to file other TTB forms. I understand that I may need to file these TTB forms before TTB may act on this application. I understand that this application includes the information that I have attached to this form or to which I have made a reference. I understand that an appropriate TTB officer may require additional information to determine that I am entitled to the amended permit for which I am applying. Under penalties of perjury, I have examined this application, and to the best of my knowledge and belief, this application, including any attachments, is true, correct, and complete.

a. Signature <i>(See instruction M)</i>	b. Title	c. Date
d. My E-mail Address		e. My Business Telephone Number (     )     —

**Send this form to the Director, TTB National Revenue Center, 550 Main Street, Suite 8002, Cincinnati, OH 45202.**

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

**APPLICATION FOR AMENDED PERMIT TO MANUFACTURE TOBACCO PRODUCTS OR  
PROCESSED TOBACCO OR TO OPERATE AN EXPORT WAREHOUSE  
(INSTRUCTIONS)**

## 1. GENERAL INSTRUCTIONS

- A. **Why do I need this form?** Use this form to amend your permit to manufacture tobacco products or to manufacture processed tobacco or to operate an export warehouse under Chapter 52 of Title 26 of the United States Code (Internal Revenue Code). Applying for an amended permit does not authorize you to operate contrary to any Federal, State, or local laws.
- B. **When do I have to file this form to amend my permit and do I have to wait for TTB to approve it?**

1) You must file this form if you:	When do I file the application?	When may I make the change?	Which item on this form do I complete?
a) Relocate your permit operations	Before you relocate	Wait for TTB Approval	Item 7 or 8
b) Change the address of your Permit operations (not the physical location)	Within 30 days of the change	TTB approval not required before the change	Item 6
c) Extending or curtailing your premises where you manufacture tobacco products or your export warehouse	Before extending or curtailing	Wait for TTB Approval	Item 8
d) Change your legal name	Within 30 days	TTB approval not required before the change	Items 5a and 5c
e) Add or remove trade names	Within 30 days	TTB approval not required before the change	Items 5b and 5c

2) You are NOT required to file this form if you:	What do I file with TTB?	When may I make the change?
a) Have a change in ownership of the business covered by your TTB permit	TTB F 5200.3 – change in ownership requires the new owner to apply for a new permit	Wait for TTB Approval
b) Change in officers or directors of a corporation	A letter notice reporting the change	TTB approval not required before the change

1) You are NOT required to file this form if you:	What do I file with TTB?	When may I make the change?
c) Change in stock ownership  i. Controlling interest  ii. Person(s) holding more than 10% interest	TTB F 5200.3 – change in control requires the new ownership to apply for a new permit  A letter notice reporting the change	If TTB F 5200.3 is filed within 30 days, operations may continue under current permit until new application is acted upon by TTB  TTB approval not required before the change
d) Have a change in limited liability company membership:	A letter notice reporting the change	TTB will advise whether further filings are required. Changes that involve actual or legal control of the business will require filing for a new permit using TTB F 5200.3

C. **How do I file this form?** Send this form to the Director, TTB National Revenue Center, 550 Main Street, Ste. 8002, Cincinnati, OH 45202. We recommend that you keep a copy of what you send.

D. **Can I incorporate information that TTB already has on file?** Yes, if you include, from the item(s) filed:

- (1) The name, address and TTB permit number that appears on the TTB form referenced;
- (2) The TTB form and item number; and
- (3) The date that the TTB form was signed.

E. **What if there is not enough space for my information?** Attach a separate sheet with any additional information. On this form in the space provided next to the item number, state that you have attached a separate sheet. Any attachment to this form must include this TTB form number (TTB F 5200.16) and the item number(s) to which the information corresponds.

## INSTRUCTIONS FOR SPECIFIC ITEMS

F. **Item 3. What is my employer identification number?** This is the nine-digit code that the Internal Revenue Service (IRS) assigns to your business. If you do not have an employer identification number, you may obtain one by filing an IRS Form SS-4. You may get this form from the IRS. You may also obtain an EIN by applying online at [www.irs.gov](http://www.irs.gov).

G. **Item 4. When do I have to attach my permit?** You must always attach your permit. If you cannot locate your permit, you must state this fact.

H. **Item 5.**

1) **What is my legal name?**

Your business is a:	Your legal name is:
Sole Proprietorship	Your full name.
Partnership	The name of each partner or the name of the partnership as filed with a State or local government.

<b>Your business is a:</b>	<b>Your legal name is:</b>
Corporation, association, limited liability company, or other business organization	The name as stated on your documents filed with the State or local government.

2) **What documents must I file?**

<b>If your business is a:</b>	<b>Attach to this application:</b>
Sole Proprietorship	Accurate copy of certificate, issued by State, county, or municipality, which shows the change in your name.
Partnership or Association	Accurate copy of articles <b>OR</b> the certificate required to be filed by any State, county, or municipality.
Corporation	Accurate copy of the corporate charter <b>OR</b> certificate of corporate existence or incorporation, or other corporate document that shows your new legal name.  This copy must be executed by the appropriate officer of the State in which your business is incorporated.
Limited Liability Company or other business organization	Accurate copy of the business document(s) that shows your new legal name filed with a State, county, or municipality when such filing is required.  The copy must show that it was filed with the appropriate government agency.

- I. **Item 5. What is a trade name?** In general, a trade name is used to identify your business that is not its legal name. For example, your legal name may be ABC Corporation, but you use ABC Tobacco Products in your business operations. Business operations include any name with which you identify your business on invoices or letterhead. Also, business operations include a name that identifies your business on packages of tobacco products or cigarette papers and tubes.
- J. **Item 5. Am I required to have a trade name certificate?** Your State, county, or municipal authority may require a trade name certificate to operate your business under a trade name. If your State, county, or municipal authority does not require a trade name certificate, state this fact in item 5c.
- K. **Item 7. Relocation of manufacturer of processed tobacco:** State the number, street, city, and State of the location of your factory premises to be covered by your permit.
- L. **Item 8. Relocation, extension or curtailment of tobacco products factory or export warehouse:**
- 1) **What must I include in my description of my tobacco products factory or export warehouse?** State the number, street, city, and State of the location of your factory or export warehouse premises to be covered by your permit.
  - 2) **When do I need a diagram?**
    - (a) Your tobacco products factory or export warehouse is more than one building and each building cannot be identified by a separate street address. Identify each building by a letter, number, or similar designation.
    - (b) Your tobacco products factory or export warehouse uses only a part of a building. Show the floor and room(s) in the building.
    - (c) Your tobacco products factory adjoins a retail store. Show any doors or other openings between the factory and the retail store.

**M. Item 12. Who may sign this application?**

If your business is a:	The application must be signed by:
Sole Proprietorship	You; <b>OR</b> An individual for whom you have filed an ATF or TTB F 5000.8, Power of Attorney.
Partnership	Each partner; <b>OR</b> The partner who has been given the authority to sign by the articles of partnership or similar agreement of all the partners that you have filed for this permit; <b>OR</b> An individual for whom you filed an ATF or TTB F 5000.8, Power of Attorney.
Corporation, Association, Limited Liability Company, or other business organization	An individual who has signature authority granted by the business documents that you have filed for this permit or documented using TTB F 5100.1, Signing Authority for Corporate or LLC Officials; <b>OR</b> An individual for whom you have filed an ATF or TTB F 5000.8, Power of Attorney

**N. If I have questions about this TTB form, who can answer my questions?** Contact a specialist at the TTB National Revenue Center by phone at 1-877-882-3277, fax at 1-202-453-2338, or e-mail to [ttbtobacco@ttb.gov](mailto:ttbtobacco@ttb.gov).

**O. When can I expect my permit?** In general, it takes from 2 to 12 weeks before TTB decides on amending your permit. TTB thoroughly examines the information that you provide with this application. If you omit information or provide partial information, it will take longer. Also, TTB may request additional information based on the information that you have provided. If TTB decides not to issue the amended permit, you will receive a written notice stating the reasons.

**PAPERWORK REDUCTION ACT NOTICE**

This request is in accordance with the Paperwork Reduction Act of 1995. We use this information collection to determine your identity, location, extent of operations, and eligibility to engage in operations, and the likelihood that you will conform with Federal laws and regulations. This information is required from you to obtain or retain a benefit and is mandatory by law (26 U.S.C. 5712).

We estimate that you will spend 1 hour to complete this form (average burden associated with this collection of information). You may spend more or less time depending upon your individual circumstances. Address your comments concerning the accuracy of this burden estimate and suggestions to reduce this burden to: Reports Management Officer, Regulations and Rulings Division, Alcohol and Tobacco Tax and Trade Bureau, Washington, DC 20220.

An agency may not conduct or sponsor a collection of information unless it displays a current valid OMB control number. In addition, you are not required to respond to a collection of information unless it displays a current, valid OMB control number.

**PRIVACY ACT INFORMATION**

The following information complies with Section 3 of the Privacy Act of 1974 (5 U.S.C. 552a(e)(3)):

1. What is TTB's authority to ask for this information? We require this information under the authority of 26 U.S.C. 5712. You must provide this information before TTB decides on whether you may continue your business allowed under this permit.
2. What is the purpose for this information collection? You must provide this information so that TTB will be able to determine your identity, location, extent of operations, and eligibility to engage in operations, and the likelihood that you will conform with Federal laws and regulations.
3. How does TTB routinely use this information? We use this information to make determinations for the purposes described in paragraph 2.  
  
Also, if we are not prohibited by law, we may disclose the information that you provided on this form to other Federal, State, foreign, or local law enforcement or regulatory agency personnel, and to members of the public to verify it. Finally, we may disclose this information to the Justice Department if it appears that false information, which constitutes a violation of Federal law, has been provided.
4. What is the effect if I do not supply the information TTB requests? If you fail to supply this information, then it will delay TTB's determination as described in paragraph 2. Also, TTB may disapprove your application if you fail to supply the information.