OMB No. 1513-0048

DEPARTMENT OF THE TREASURY
ALCOHOL AND TOBACCO TAX AND TRADE BUREAU (TTB)
REGISTRATION OF DISTILLED SPIRITS PLANT

(Prepare in duplicate. See instructions below.)

1. SERIAL NUMBER *(Begin with "1" for original registration)*

2.EIN

PART I - APPLICATION

3. TO: DIRECTOR, NATIONAL REVENUE CENTER, ALCOHOL AND TOBACCO TAX AND TRADE BUREAU

4. DATE

5. PLANT NUMBER

6. NAME AND PRINCIPAL BUSINESS ADDRESS OF APPLICANT *(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.)*

7. PLANT ADDRESS *(If different from address in Item 5)*

8. OPERATIONS TO BE CONDUCTED *(Check applicable boxes)*

☐ DISTILLER ☐ WAREHOUSEMAN

☐ PROCESSOR WHO: ☐ DENATURES ☐ BOTTLES ☐ MANUFACTURES ARTICLES

9. PURPOSE FOR WHICH FILED *(Such as original registration, extension of premises, changes in equipment, etc. Give brief description of changes)*

10. I am ☐ or am not ☐ required to furnish a bond under 27 CFR 19.151. I am not required to furnish a bond only if all of the following are true: I will withdraw spirits for deferred payment of tax under 27 CFR 19.235, I was liable for not more than $50,000 in distilled spirits taxes in the preceding calendar year, I reasonably expect to be liable for not more than $50,000 in such taxes during the current calendar year, and I have no operations or withdrawals involving spirits for industrial use.

11. 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 11A and 11B; (3) the current papers and documents of the latest approved Form TTB 5110.41, Serial No. _____, which are listed in Items 11A-1 and 11B-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 11C.

11A. PAGES ATTACHED TO THIS FORM:

11A-1. PAGES FROM CURRENT APPROVED FORM TTB F 5110.41:

11B. ORGANIZATIONAL DOCUMENTS ATTACHED TO THIS FORM: *(List each document)*

11B-1. ORGANIZATIONAL DOCUMENTS FILED WITH PRIOR APPROVED FORM TTB F 5110.41: *(List each document)*

11C. ORGANIZATIONAL DOCUMENTS FILED IN CONNECTION WITH ANOTHER ESTABLISHMENT BUT INCORPORATED IN THIS APPLICATION BY REFERENCE: *(List each document, and show the name or plant number under which filed)*

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.

12. SIGNATURE

13. TITLE

PART II - NOTICE OF REGISTRATION

Registration is approved, effective _____, _____

SIGNATURE AND TITLE OF TTB OFFICIAL, ALCOHOL AND TOBACCO TAX AND TRADE BUREAU

DATE

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. 5171(c)) to be held before the operations of distiller, warehouseman, processor, or any combination thereof, may be commenced or continued.

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 to bring the notice of registration up to date. Replacement pages must be numbered to correspond to the pages being replaced.

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;
   a. List of applicant's operating and basic permits and the operations, withdrawal, or unit 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. Information related to bonds need not be provided if no bond is required under 27 CFR 19.151.
   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.
   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.)
   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.
   g. Statement of physical security measures employed (see 27 CFR 19.76).
   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.
      (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.

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.

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. §5172. 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 eligibilty 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, 1310 G Street, NW, Box 12, Washington, DC 20005.

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.