

Slide 1



Industry Circular 2019-2
Temporary Voluntary Disclosure
Program

Permits Online Demo:
Change in Proprietorship

Alcohol and Tobacco Tax and Trade Bureau

V1: Hi everyone, and thank you for joining our Permits Online presentation for submitting your temporary voluntary disclosure program, or TVDP, applications, per Industry Circular 2019-2.



Objective



For wholesalers and importers that have undergone an unreported change in proprietorship, demonstrate how to file in Permits Online under the Temporary Voluntary Disclosure Program (TVDP), as outlined in Industry Circular 2019-2.

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V2: In this presentation, we're going to show you how to submit the documentation needed under the temporary voluntary disclosure program for a change in proprietorship.



Objective



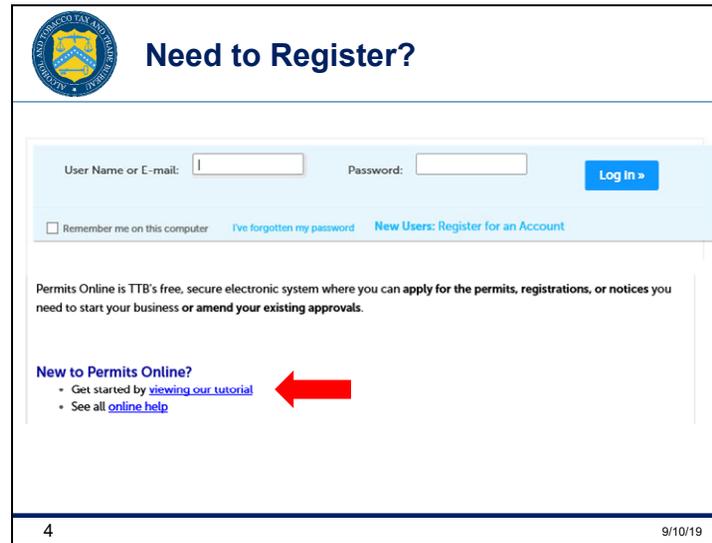
Follow the Industry Circular 2019-2
Temporary Voluntary Disclosure Program
(TVDP) requirements to:

- Create a new application for a Change in Proprietorship through Permits Online

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V2: Today we're going to show you how to file an application for a new permit for a Change in Proprietorship following the TVDP requirements as outlined in Industry Circular 2019-2.

Slide 4



V1: If you are new to Permits Online and need help registering for an account, please click the “**viewing our tutorial**” link on the Permits Online login page, and visit Part Two of the tutorial.

V2: The rest of this presentation will help you navigate the screens you’ll see when you’re logged into Permits Online.

Slide 5

 **Create a Change in Proprietorship Application**

Home My Submissions Resume Draft Help

Welcome Joe Industry Member
You are now logged in.

What do you want to do today?

[Apply for new permits, registrations or notices](#)

Build a package of the applications you'll need in order to get your approvals.
Here's [what you'll need to gather](#) before starting.

Helpful resources:

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V1: A Change in Proprietorship requires a new application. So, select ***Apply for new permits, registrations or notices*** from the Permits Online home screen. This will take you to the *New Applications Wizard*.

Slide 6

 **Rules and Responsibilities**

Home My Submissions Resume Draft Help

Rules and Responsibilities

Please read and accept the rules and responsibilities.

Under penalty of perjury, I declare that I have examined this application, including accompanying statements, and to the best of my knowledge and belief, it is true, correct, and complete. The applicant must immediately notify the TTB official with whom this application is filed of any change in ownership, management, or control of the applicant (in the case of a corporation, any change in the officers, directors, or persons holding 10 percent or more of the corporate stock). The business for which this application is made does not violate the law of the State in which the

I have read and I accept the above rules and responsibilities.

[Continue >](#)

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V2: Read the Rules and Responsibilities text box, and then select and accept them by marking the indicated box, and then click ***Continue.***

Slide 7

Verify Contact Information

Home My Submissions Resume Draft Help

New Applications Wizard

1 Determine applications 2 Review 3 Application package 4 Submission confirmation

Step 1: Determine applications >>
This wizard will help you identify, fill out, and submit a package of the applications you'll need in order to get your TTB permits, registrations, and/or notices. * indicates a required field

Application Contact

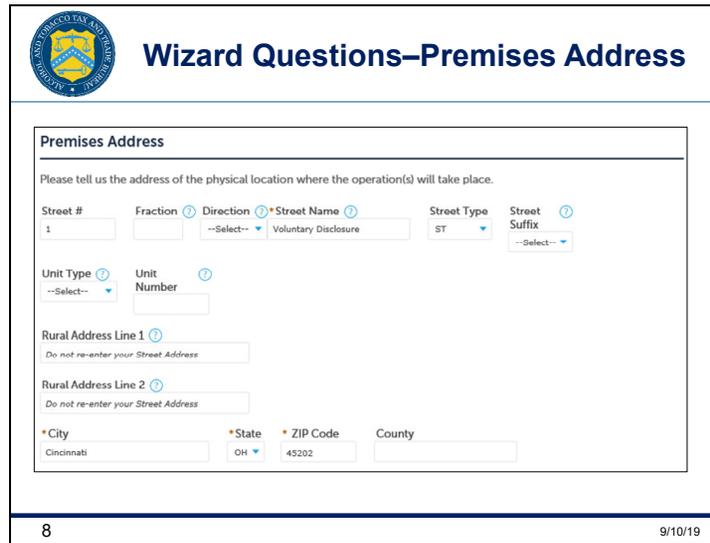
Please verify your contact information as the person filling out this application package; if it is incorrect update [your information](#) and then start a new application package.

You must have [authority to submit this application package](#) on behalf of the business.

Joe Industry Member
joe@whilmp.com
111-222-3344
000 X Street, Suite 0
Anywhere, XX 12345

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V1: Next, double check your contact information, indicated by our arrow. If you notice that it's incorrect, click the blue ***your information*** link we circled to edit the information. Note that if you do have to change your contact information, you'll have to exit the New Applications Wizard to do so, and will need to begin the wizard again after you make the necessary edits. If you can verify your contact information is correct, scroll down to the next section.



Wizard Questions—Premises Address

Premises Address

Please tell us the address of the physical location where the operation(s) will take place.

Street # Fraction Direction Street Name Street Type Street Suffix

Unit Type Unit Number

Rural Address Line 1
Do not re-enter your Street Address

Rural Address Line 2
Do not re-enter your Street Address

*City *State *ZIP Code County

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V2: Here you will enter the address of the physical location where the operations will take place. After entering your premises address, scroll down to the next section.

WIZARD QUESTIONS—COMMODITY SELECTIONS

COMMODITY SELECTION
You can fill out applications for multiple operations (e.g. brewing and distilling) as part of this application package as long as the operations are for the same business and occur at the same premises location.

* Which commodity type do you need to apply for?:

From the list below, select all that apply for this premises location:

Wholesaler / importer:

Brewery:

Spirits (distillery / industrial use):

Wine (producer / cellar / bottler):

Select Application(s)

APPLICATION TYPES
Based on what you've told us, here are the applications that best match your planned operations. Please select all that are appropriate for this premises location.

If you don't see an application that fits your operation, check our [list of application types that are not available via Permits Online](#) and follow the instructions for mailing in your application package instead.

Wholesaler / Exporter (Alcohol):

Importer (Alcohol):

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V1: Mark the first box, **Wholesaler/Importer**. Scroll down to the next section, *Application Types*, and mark one or both of the Application Types you need to submit.



Wizard Questions—Business Entity

Business Entity

ENTITY INFORMATION
Tell us about the business and the people that will be involved in this operation.

• Business structure:

State where incorporated or organized: •

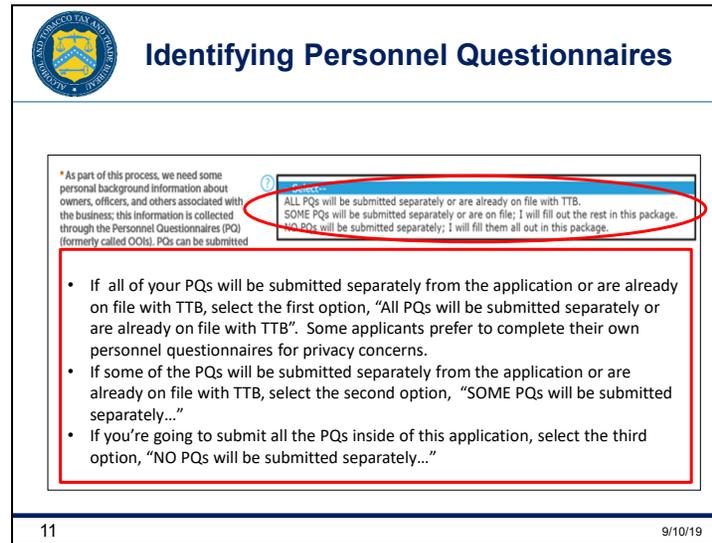
• Employer Identification Number (EIN):

• Do you currently have another approved or pending permit, registration, or notice with TTB under this EIN?: Yes No

• What is the legal name of the business? Sole proprietors should enter the owner's name:

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V1: Enter the information about your business in the boxes here.



Identifying Personnel Questionnaires

* As part of this process, we need some personal background information about owners, officers, and others associated with the business; this information is collected through the Personnel Questionnaires (PQ) (formerly called OOH). PQs can be submitted

ALL PQs will be submitted separately or are already on file with TTB.
SOME PQs will be submitted separately or are on file; I will fill out the rest in this package.
NO PQs will be submitted separately; I will fill them all out in this package.

- If all of your PQs will be submitted separately from the application or are already on file with TTB, select the first option, "All PQs will be submitted separately or are already on file with TTB". Some applicants prefer to complete their own personnel questionnaires for privacy concerns.
- If some of the PQs will be submitted separately from the application or are already on file with TTB, select the second option, "SOME PQs will be submitted separately..."
- If you're going to submit all the PQs inside of this application, select the third option, "NO PQs will be submitted separately..."

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V2: On this screen you will decide how to submit your personnel questionnaires, that we'll call "PQs." Look at the first drop-down box we've circled, and follow these directions to highlight your selection:

- If all of your PQs will be submitted separately from the application or are already on file with TTB, select the first option, "All PQs will be submitted separately or are already on file with TTB". Some applicants prefer to complete their own personnel questionnaires for privacy concerns.
- If some of the PQs will be submitted separately from the application or are already on file with TTB, select the second option, "SOME PQs will be submitted separately..."
- If you're going to submit all the PQs inside of this application, select the third option, "NO PQs will be submitted separately..."

The screenshot shows a form titled "Identifying Personnel Questionnaires" with the TTB logo in the top left. The form contains three numbered questions:

- Question 1: "As part of this process, we need some personal background information about owners, officers, and others associated with the business; this information is collected through the Personnel Questionnaires (PQ) (formerly called OOHs). PQs can be submitted separately from this application package, either by you, or by others using their own Permits Online accounts. Alternatively, you can complete the PQs for yourself and others while filling out the applications in your package. How will the PQs be submitted?:" This question has a dropdown menu with three options: "All PQs will be submitted separately or are already on file with TTB.", "Some PQs will be submitted separately or are on file; I will fill out the rest in this package.", and "No PQs will be submitted separately; I will fill them all out in this package." A red box highlights this dropdown menu.
- Question 2: "How many blank PQ applications should we add to your application package (don't count those that are being submitted separately)::" This question has a text input field. A red arrow points to this field from a red box.
- Question 3: "Do you need to make any other changes to the information TTB has on file about this business entity (e.g. remove owners/officers, update information about current owners/officers, add or remove power of attorney, add or remove signing authority, and/or change the name of the business)::" This question has radio buttons for "Yes" and "No".

A red box on the right side of the form contains the text: "For more information, please see our guidance about Personnel Questionnaires: TTB G 2018-3".

At the bottom of the form, the page number "12" is on the left and the date "9/10/19" is on the right.

V1: Then, in the area we've indicated with an arrow, make sure you list the correct number of PQs for the question, "How many blank PQ applications should we add..." – it's important to do this because the wizard will create PQ applications in your package based on the number you provide here. If you list too many or not enough, you'll need to start the amendment wizard all over again to get the correct amount. PQs already on file with TTB and PQs that you plan to submit separately do not count toward this number.

V2: If you need additional information about Personnel Questionnaires, please search for "TTB G 2018-3" on TTB.gov.

 **Check Your Answers**

Make Sure Your Answers are Correct

CONFIRM
Thanks for telling us about the changes you're making to your business entity information! We're almost ready to build your custom application package. ~~Before we do so, please review your answers to the questions above and be sure they are correct.~~

ARE YOU SURE? You can't change your answers after leaving this screen (they are used to build your package).
* I have reviewed my answer choices and confirm that they accurately reflect my business changes:

[Continue »](#)

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V1: After you complete all the questions and you're at the bottom of the page, you'll get a reminder to check your questions and verify that you've reviewed them and they're accurate. Once you check the **Confirm** box, you'll notice a red prompt asking if you're sure. Make sure you ARE sure because you can't change your answers after leaving this screen. This is your last opportunity to make sure you answered all the questions in the wizard correctly. Once you click **Continue**, the package will be built based on your answers.

Review

New Applications Wizard

1 Determine applications 2 Review 3 Application package 4 Submission confirmation

Step 2: Review

[Continue >](#) [Save and resume later](#)

This is a summary of the information you provided to us.

Editing Your Answers

Please review your answers below.

Please note that you will not be able to edit the answers you gave on the first page of the application wizard because this information was used to build your application package. If you made a mistake in the wizard, you will need to [start over](#).

New Applications Wizard

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V2: This page allows you to review everything again. It shows you all the questions you were asked, along with the answers you provided. You can't make any corrections at this point. So if your package is incorrect, you'll need to exit by clicking the circled blue **start over** link and begin the New Applications Wizard again. If everything is correct, click *Continue*. Unfortunately, users have reported issues with the *Save and resume later* function, and we do not recommend using it at this time.

Start Your Application Package

Home My Submissions Resume Draft Help

New Applications Wizard

1 Determine applications 2 Review 3 Application package 4 Pay cash bond if applicable 5 Submission confirmation

Step 3: Application package

Based on the information you have provided, your application package consists of the application(s) shown below. Select "Start" to begin each application.

Once all applications are in "Ready to submit (edit)" status, you may select the "Submit application package" button. After submitting the application package, you will no longer be able to change any of the information.

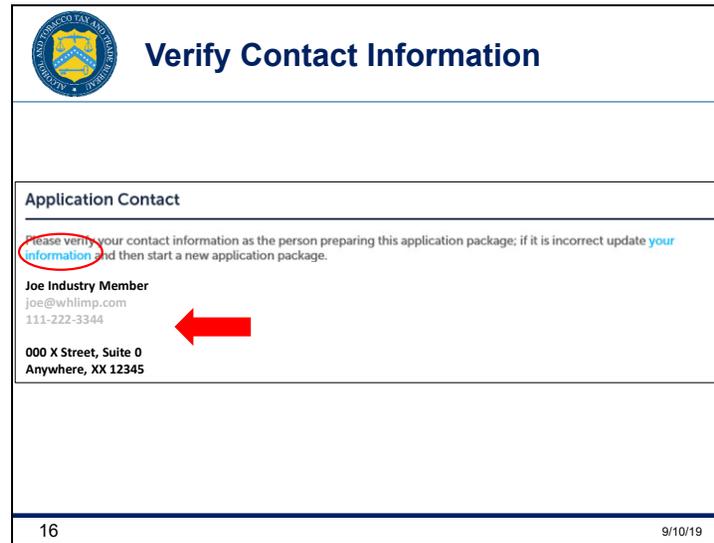
Please complete the following applications:

- Application for Alcohol Importer [Start](#)
- Application for Alcohol Wholesaler and/or Exporter [Start](#)
- Application for Original Entity [Start](#)
- Personnel Questionnaire [Start](#)

[Submit Application Package »](#) [Save and resume later](#)

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V1: Okay, now the *Application Package* the wizard created based on your answers is ready. Click on the **Start** link to begin each application in your package. For the purpose of this presentation, we will begin with the *Application for Original Entity*.



The image shows a screenshot of a web application interface titled "Verify Contact Information". At the top left is a circular logo for the "WISCONSIN FORECO TAX AND FINANCE BOARD". The main heading is "Verify Contact Information". Below this is a section titled "Application Contact". A red circle highlights the text "your information" in the instruction: "Please verify your contact information as the person preparing this application package; if it is incorrect update [your information](#) and then start a new application package." Below the instruction, the contact information for "Joe Industry Member" is listed: "joe@whlmp.com", "111-222-3344", "000 X Street, Suite 0", and "Anywhere, XX 12345". A red arrow points to the contact information. At the bottom left of the screen is the number "16" and at the bottom right is the date "9/10/19".

V1: Next, double check your contact information here. If you notice that it's incorrect, click the blue ***your information*** link we circled to edit the information. Note that if you need to change your contact information, you'll have to exit the system to do so, and then log in again after you make the necessary edits. Once you verify your contact information, click ***Continue***.

 **Business Entity**

Business Entity

ENTITY INFORMATION
This is the business information you provided earlier in the application process. If your business has a website, you may provide it here.

* Business name:

* Employer Identification Number (EIN):

* Organization type:

State where Incorporated or organized:

Business website:

[Continue >](#) [← Back to Application Package](#) [Save and resume later](#)

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V1: Here you're going to verify your *Entity Information* and then click **Continue**.

Officer/Ownership Information

Step 2a

OFFICER/OWNERSHIP INFORMATION
 Select "Add a Row" to identify each partner, general/limited partner, officer, director, trustee, manager, member, managing member, or sole proprietor.

You must also add a row for every stockholder or interest holder with a stake of 10% or more in the business.

Finally, you must also add a row for every company or trust holding ownership in the business.

Showing 0-0 of 0

Removal Date (for TTB use only)	Officer/Owner Classification	How are you submitting the Personnel Questionnaire Information?	First Name	Middle Name	Last Name	Personnel Questionnaire Tracking Number	Employer Identification Number (EIN)	Suffix	Email Address	Title	Title if Other	Use additional titles (if any)
No records found.												

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V2: When you get to this section of the Application in Permits Online, you'll see three separate tables. One for *Officer/Ownership Information*, one for *Signing Authority*, and another one for *Power of Attorney*. This screenshot only shows you the *Officer/Ownership Information* table as an example, but each table works the same way to add, remove, or delete any of the information, and they are all located on the same page.

V1: Here you must select **Add a Row** to identify the ownership of your business.

OFFICER/OWNERSHIP INFO (cont.)

OFFICER/OWNERSHIP INFORMATION
Select "Add a Row" to identify each partner, general/limited partner, officer, director, trustee, manager, member, managing member, or sole proprietor.
You must also add a row for every stockholder or interest holder with a stake of 10% or more in the business.
Finally, you must also add a row for every company or trust holding ownership in the business.

Removal Date (for TTB use only):

Officer/Owner Classification: *

How are you submitting the Personnel Questionnaire Information?:

First Name: Middle Name: Last Name:

Suffix: Email Address: Title:

List additional titles (if any):

* Percentage of Voting-Stock Interest: Dollar amount invested in Business to date:

Financial Institution: Name, City and State: State the source of the investment: How will Source of Funds Documentation be Submitted?:

V1: Then you'll get a pop up screen like this. As you begin answering these questions, you'll notice some will disappear and some additional questions will appear based on the answers you provide. Be sure to answer all required fields identified with a red asterisk, like the one circled here.

When you've answered all required questions, click the **OK** button to return to the Owner/Officer Table.



Officer/Ownership (cont.)

Step 2a

OFFICER/OWNERSHIP INFORMATION

Select "Add a Row" to identify each partner, general/limited partner, officer, director, trustee, manager, member, managing member, or sole proprietor.

You must also add a row for every stockholder or interest holder with a stake of 10% or more in the business.

Finally, you must also add a row for every company or trust holding ownership in the business.

Showing 1-1 of 1

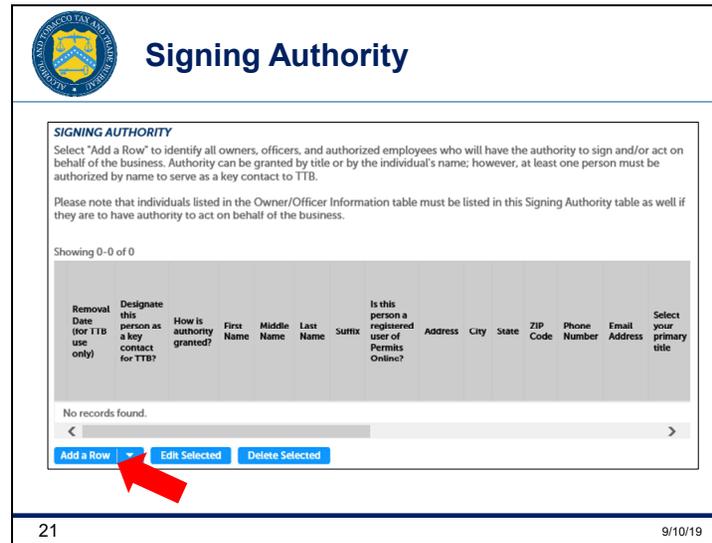
Removal Date (for TTB use only)	Officer/Owner Classification	How are you submitting the Personnel Questionnaire Information?	First Name	Middle Name	Last Name	Personnel Questionnaire Tracking Number	Employer Identification Number (EIN)	Suffix	Email Address	Title
<input type="checkbox"/>	Individual	Within this Application Package	John		Disclosure					Managing Member

Add a Row
Edit Selected
Delete Selected

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V2: Now you'll see the information you entered in the prior screen here in the *Officer/Ownership Information Table*. If you need to add additional information, click the **Add a Row** button as many times as you need to correctly identify the ownership of your business.

Once this table is complete, scroll down to the next table.



Signing Authority

SIGNING AUTHORITY

Select "Add a Row" to identify all owners, officers, and authorized employees who will have the authority to sign and/or act on behalf of the business. Authority can be granted by title or by the individual's name; however, at least one person must be authorized by name to serve as a key contact to TTB.

Please note that individuals listed in the Owner/Officer Information table must be listed in this Signing Authority table as well if they are to have authority to act on behalf of the business.

Showing 0-0 of 0

Removal Date (for TTB use only)	Designate this person as a key contact for TTB?	How is authority granted?	First Name	Middle Name	Last Name	Suffix	Is this person a registered user of Permits Online?	Address	City	State	ZIP Code	Phone Number	Email Address	Select your primary title
No records found.														

[Add a Row](#) [Edit Selected](#) [Delete Selected](#)

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V1: The *Signing Authority Table* allows you to add the individual or individuals that have the ability to sign and act on behalf of the business. Select **Add a Row** to begin adding this information.

Signing Authority (cont.)

SIGNING AUTHORITY
Select "Add a Row" to identify all owners, officers, and authorized employees who will have the authority to sign and/or act on behalf of the business. Authority can be granted by title or by the individual's name. However, at least one person must be authorized by name to serve as a key contact to TTB.

Please note that individuals listed in the **Officer/Ownership Table** must be listed in this Signing Authority table as well if they are to have authority to act on behalf of the business.

Removal Date (for TTB only):

Designate this person as a key contact for TTB? How is authority granted?

First Name: Middle Name:

Suffix: Is this person a registered user of Permits Online? Yes No

City: State:

Phone Number: Email Address:

Title if Other: Source of Authority: Type of Board Meeting:

Date of Meeting (Must be on or before date of submittal): Type:

If limited, describe what they are authorized to do on behalf of the business:

Effective Date (Must be on or before date of submittal): What authorization does this person have regarding label submissions?: What authorization does this person have regarding formula submissions?:

Does this person already have a COLAs Online and/or Formulas Online account with TTB?: Does this authority apply to all permits?: Yes No

Authorized Locations:

V2: You'll see a pop up screen like this, similar to the *Officer/Ownership Table*. Start answering these questions and again notice that some questions will appear or disappear based on your answers. Later in the application process, you'll have to upload the document that is assigning the signing authority to each of the individuals listed in this table. So, be sure to answer all required fields identified with a red asterisk, indicated here with a small red circle.

Note that you'll be required to list at least one individual in this table and at least one of the individuals listed must be designated as a key contact for TTB, shown here with a big green circle.

When you have answered all required questions, click the **OK** button to return to the *Signing Authority Table*.

SIGNING AUTHORITY

Select "Add a Row" to identify all owners, officers, and authorized employees who will have the authority to sign and/or act on behalf of the business. Authority can be granted by title or by the individual's name; however, at least one person must be authorized by name to serve as a key contact to TTBT.

Please note that individuals listed in the Owner/Officer Information table must be listed in this Signing Authority table as well if they are to have authority to act on behalf of the business.

Showing 1-1 of 1

Removal Date (for TTBT use only)	Designate this person as a key contact for TTBT?	How is authority granted?	First Name	Middle Name	Last Name	Suffix	Is this person a registered user of Permits Online?	Address	City	State	ZIP Code	Phone Number
<input type="checkbox"/>	Yes	Name	John		Disclosure		Yes	1 Voluntary Disclosure St.	Cincinnati	OH	45202	

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V1: Here, you'll see the information you entered in the prior screen for the *Signing Authority Table*. If you need to add additional information, click the **Add a Row** button as many times as you need to correctly identify all individuals having signing authority for your business.

Once this table is complete, scroll down to the next table.

POWER OF ATTORNEY INFORMATION

Select "Add a Row" to identify all others who have authority to sign or act on behalf of the business. Typically these are consultants, accountants, or other non-employees.

Please be sure to include a row for anyone who will be submitting formulas or labels for TTB approval.

Skip this section if it does not apply.

Showing 0-0 of 0

Removal Date (for TTB use)	First Name	Middle Name	Last Name	Suffix	Address	City	State	ZIP Code	Phone Number	Fax Number	Email Address	Type	If limited, describe what they are authorized to do on behalf of the business	Effective Date (Must be on or before date of submission)	W
No records found.															

[Add a Row](#)
[Edit Selected](#)
[Delete Selected](#)

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V2: The *Power of Attorney Table* allows you to identify all others you wish to have authority to sign and act on behalf of the business. You're not required to complete this table. If you choose not to assign anyone with Power of Attorney, scroll down to the next table.

If you would like to assign Power of Attorney, select **Add a Row** to begin adding this information.

POWER OF ATTORNEY INFORMATION (cont.)

POWER OF ATTORNEY INFORMATION
Select "Add a Row" to identify all others who have authority to sign or act on behalf of the business. Typically these are consultants, accountants, or other non-employees.
Please be sure to include a row for anyone who will be submitting formulas or labels for TTB approval.
Skip this section if it does not apply.

Removal Date (for TTB use): *First Name: Middle Name:
Last Name: Suffix: Address:
City: State: ZIP Code:
Phone Number: Fax Number: Email Address:
Type:

If limited, describe what they are authorized to do on behalf of the Effective Date (Must be on or before date of submission):

What authorization does this person have regarding label submissions?: What authorization does this person have regarding formula submissions?: Does this person already have a COLAs Online and/or Formulas Online account with TTB?:

Does this authority apply to all permits?
 Yes No

Authorized Locations:

OK Cancel

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V1: If you clicked the **Add a Row** button, a pop-up screen will show you this series of fields to fill in. Be sure to answer all required fields identified with a red asterisk. Later in the application process you'll have to upload the document that is assigning the authority to each of the individuals listed in this table.

When you have answered all required questions, click the **OK** button to return to the Power of Attorney Table to review the information you have added, if any.

Trade Names

Step 2b

TRADE NAMES
Select "Add a Row" for each trade name you wish to use. Each trade name must be appropriately registered. [Learn more about general trade name rules.](#)
Skip this section if it does not apply.

Showing 0-0 of 0

Removal Date (for TTB use)	Type	Trade Name	Who will you be bottling on account for?	I certify that the listed trade name has been registered with my county (CA) or state (all states)
No records found				

[Add a Row](#) [Edit Selected](#) [Delete Selected](#)

[Continue >](#) [Back to Application Package](#) [Save and resume later](#)

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V2: Now scroll down to the *Trade Name Table*. This table allows you to enter each trade name you wish to use. You may skip this section if it doesn't apply to your business.

If you would like to add any trade names, select **Add a Row** to begin adding this information.

TRADE NAMES (cont.)

TRADE NAMES

Select "Add a Row" for each trade name you wish to use. Each trade name must be appropriately registered. [Learn more about general trade name rules.](#)

Skip this section if it does not apply.

Removal Date (for TTB use): *Type: *Trade Name:

Who will you be bottling on account for?: I certify that the listed trade name has been registered with my county (CA) or state (all states):

OK Cancel

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V1: If you clicked on **Add a Row**, a pop-up screen like this will come up. Be sure to answer all required fields identified with a red asterisk.

When you have answered all required questions, click the **OK** button to return to the *Trade Name Table* to review the information you've added here.

Trade Names (cont.)

Step 2b

TRADE NAMES
Select "Add a Row" for each trade name you wish to use. Each trade name must be appropriately registered. [Learn more about general trade name rules.](#)
Skip this section if it does not apply.

Showing 1-1 of 1

Removal Date (for TTB use)	Type	Trade Name	Who will you be bottling on account for?	I certify that the listed trade name has been registered with my country (CA) or state (all states)	Actions
<input type="checkbox"/>	Labeling Trade Name	Voluntary Disclosure		Yes	Actions

[Add a Row](#) [Edit Selected](#) [Delete Selected](#)

[Continue](#) [Back to Application Package](#) [Save and resume later](#)

V2: If you added any trade name information in the prior screen, you'll see that information here. Click on **Add a Row** as many times as you need to enter all trade names listed on your permit.

Once this table is complete, click **Continue**.

Required Documents

Step 3a

REQUIRED DOCUMENT CHECKLIST
Based on the information you have given us, the following documents need to accompany your application. Please edit the Method of Submission to tell us how you'll provide these documents:

- Documents you plan to upload: Mark as "Uploaded." [Learn more about the type of information that should be included in each document.](#)
- Documents already on file with TTB: Mark as "On File and Previously Approved by TTB."

Important: Please make any changes to the Method of Submission on your FINAL PASS through this application, since previous edits will be overwritten upon revisiting this page.

If no documents are listed in the table below, you are not required to upload any supporting documents and can continue your application.

Showing 1-2 of 2

<input type="checkbox"/>	Document Type	Comments	Method of Submission	Permit, Registry or Tracking Number if on file with TTB	
<input type="checkbox"/>	Organizational Documents		Uploaded		Actions ▾
<input type="checkbox"/>	Signing Authority Form		Uploaded		Actions ▾

[Edit Selected](#)

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V1: Based on your answers, Permits Online will create a list of *Required Documents* that you'll need to attach to your application. For applications under the Temporary Voluntary Disclosure Program, along with any listed Required Documents, you must also upload your *Request and Certification* letter here. A sample of that letter can be found as Attachment A to Industry Circular 2019-2.

Uploading Documents

Step 3b: Upload Required Documents

Upload attachments here. Be sure to save all uploads before leaving this page using the 'Save Attachments' button. View, download, or print attachments by selecting the document name.

Attachment List

Files can be up to 16 MB in size. Larger documents should be separated and uploaded as multiple files if necessary. PDF file type is preferred.

Name	Document Type	Size	Date	Action
No records found.				

Add

Continue > Back to Application Package **Save and resubmit**

File Upload

Files can be up to 16 MB in size. Larger documents should be separated and uploaded as multiple files if necessary. PDF file type is preferred.

Add

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V2: Click the **Add** button to browse your computer files to find and attach the required documents.

Uploading Documents (cont.)

File Upload

Files can be up to 16 MB in size. Larger documents should be separated and uploaded as multiple files if necessary. PDF file type is preferred.

Articles of Organization.pdf 100%

Signing Authority Form.docx 100%

Voluntary Disclosure Request.docx 100%

Type: Voluntary Disclosure Request

File: Voluntary Disclosure Request.docx 100%

Description:

Save Attachments Add Remove All

Continue » Back to Application Package Save and resume later

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V1: In addition to any listed required documents, don't forget to upload the *Request and Certification* letter. First, in the *Type* dropdown, select **Voluntary Disclosure Request** for the *Request and Certification* letter. Next, once it's uploaded, click **Save Attachments**, and then click **Continue**.

Verify Uploads

Step 3b: Upload Required Documents

Upload attachments here. Be sure to save all uploads before leaving this page using the 'Save Attachments' button.

View, download, or print attachments by selecting the document name.

Attachment List

Files can be up to 16 MB in size. Larger documents should be separated and uploaded as multiple files if necessary. PDF file type is preferred.

Name	Document Type	Size	Date	Action
Articles of Organization.pdf	Organizational Documents	27.26 KB	07/30/2019	Actions ▼
Voluntary Disclosure Request.docx	Voluntary Disclosure Request	12.35 KB	07/30/2019	Actions ▼
Signing Authority Form.docx	Signing Authority Form	12.36 KB	07/30/2019	Actions ▼

[Add](#)

[Continue <](#) Back to Application Package [Save and resume later](#)

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V1: Review the attachment list and verify that your documents were successfully uploaded, including the *Request and Certification* letter. After you verify that you uploaded the documents, click **Continue**.

Declare and Acknowledge

Step 4: Declare & acknowledge >> * indicates a required field

Declaration

DECLARE AND ACKNOWLEDGE
By checking the box below, you declare under penalty of perjury that you have examined this application, including accompanying statements, and it is true, correct, and complete to the best of your knowledge and belief.
You may not commence or engage in the operations covered by this application until you have received approval from the Director of the National Revenue Center.

I declare under penalties of perjury under the laws of the United States of America, that I have examined this application, including accompanying statements, and to the best of my knowledge and belief, it is true, correct, and complete.

Declaration Date:

[Continue >](#) [Back to Application Package](#) [Save and resume later](#)

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V2: After you read the *Declaration*, acknowledge it by checking the **Declare and Acknowledge** box. The *Declaration Date* will populate automatically, then click **Continue**.

 **Editing Your Answers**

Step 5: Review

[Continue](#) [Back to Application Package](#) [Save and resume later](#)

This is a summary of the information you provided to us.

Editing Your Answers

Please review your answers below.

Please note that you will not be able to edit the answers you gave on the first page of the application wizard because this information was used to build your application package. If you made a mistake in the wizard, you will need to [start over](#).

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V2: All of your answers will show up on this page. If you notice that you missed something, you can select the **start over** link we've circled to add what's missing. If everything is there, click **Continue**.

Start Application Package

Step 3: Application package

Based on the information you have provided, your application package consists of the application(s) shown below. Select "Start" to begin each application.

Once all applications are in "Ready to submit (edit)" status, you may select the "Submit application package" button. After submitting the application package, you will no longer be able to change any of the information.

Please complete the following applications:

Application for Alcohol Importer	Start
Application for Alcohol Wholesaler and/or Exporter	Start
Application for Original Entry	Ready to submit (edit)
Personnel Questionnaire	Start

Submit Application Package > Save and resume later

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V1: Then you'll come back to your *Application Package*. Begin the next application on your list here by selecting the appropriate **Start** link. For the purpose of this presentation, we'll demonstrate the submission of an application as an Alcohol Wholesaler, so we'll select the "Application for Alcohol Wholesaler and/or Exporter."

Step 1: Mailing Address >> * indicates a required field

Application Contact

Please review the contents of the application package. The person filling out this information is the person who will be responsible for the application.

If it is incorrect update it now. Information you provided earlier in the application process.

Entity Information

Entity Information
 This is the business information you provided earlier in the application process.

Joe Industry Mem
 joe@whilmp.com
 111-222-3344

Business name:
 Joe Industry Mem

Employer Identification Number:
 000 X Street, Suite
 Anywhere, XX 123

Premises Address
 This section pertains to the physical location where your approved operations will take place.

Street # **Fraction** **Direction** **Street Name** **Street Type** **Street Suffix**

Unit Type **Unit Number**

Rural Address Line 1

Rural Address Line 2

***City** ***State** *** ZIP Code** **County**

Permit Information

Permit Number:

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V2: The first three sections you'll see will be completed for you based on the information you entered in the *New Application Wizard*.

Adding Mailing Address (cont.)

Mailing Address
Please provide the address where mail regarding this operation should be sent.

Auto Fill **New**

Continue » [« Back to Application Package](#) **Save and resume later**

Mailing Address
Please provide the address where mail regarding this operation should be sent.

✔ **Contact added successfully.**

Joe Industry Member
joe@whilmp.com
111-222-3344

**000 X Street, Suite 0
Anywhere, XX 12345**

[Edit](#) [Remove](#)

Continue » [« Back to Application Package](#) **Save and resume later**

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V1: Here, provide your mailing address by clicking the **Auto Fill** button, which will pull the information from your *User Profile* that you filled out when you created your account in Permits Online. If the mailing address needs to be different than the address entered in your User Profile, click the **New** button to enter the new mailing address. When finished, click **Continue**.



Operation Description

Step 2: Operation description >>

Step 2a

DBA/OPERATING NAME

Doing Business As / Operating Name:

REASON FOR THE APPLICATION

New wholesaler / exporter:

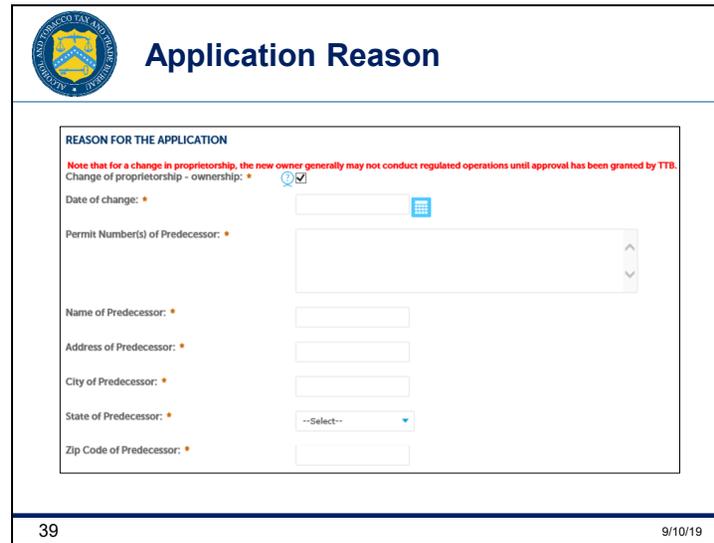
Out-of-state relocation:

Change of proprietorship - ownership:

Change of general partner(s):

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V2: If you need a Doing Business As / Operating Name on your Permit, enter it here. Then, under the *Reason for the Application*, mark the ***Change of proprietorship - ownership*** box.



Application Reason

REASON FOR THE APPLICATION

Note that for a change in proprietorship, the new owner generally may not conduct regulated operations until approval has been granted by TTB.

Change of proprietorship - ownership:

Date of change: *

Permit Number(s) of Predecessor: *

Name of Predecessor: *

Address of Predecessor: *

City of Predecessor: *

State of Predecessor: * --Select--

Zip Code of Predecessor: *

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V1: Notice the additional questions that appear after you mark the **Change of proprietorship – ownership** box. Answer all the required questions, these appear with red asterisks.



Owner Background

BUSINESS CONDUCTED - WHOLESALE
Select the type(s) of alcohol beverages that you intend to purchase for resale at wholesale and/or export.

Distilled Spirits:

Wine:

Malt Beverages (Beer):

OWNER BACKGROUND INFORMATION

Has any shareholder with more than 10% voting stock, sole owner, general partner, LLC member/manager, or corporate officer or director voting stock ever been denied a permit, license, or other authorization to engage in any business to manufacture, distribute, import, sell, or use alcohol products (beverage or non-beverage) by any government agency (federal, state, local, or foreign) or had such a permit, license, or other authorization revoked, suspended, or otherwise terminated? Yes No

Has any shareholder with more than 10% voting stock, sole owner, general partner, LLC member/manager, or corporate officer or director 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 felonies under federal or state law? Yes No

EXPORT BOND INFORMATION

Will this wholesaler be exporting alcohol without payment of tax? Yes No

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V2: Select the **type(s) of alcohol beverages** you intend to purchase for resale at wholesale and then answer the two **Owner Background Information** questions and, if applicable, the **Export Bond Information** question.



Export Bond Information

Step 2b

EXPORT BOND INFORMATION

If you are exporting through the use of a Specific Export Bond or Continuing Export Bond, select "Add a Row" to provide your bond information.

You will also be required to upload a corresponding [TTB F 5100.25 Specific Export Bond form](#) or [TTB F5100.30 Continuing Export Bond form](#) on the next screen.

You can skip this section if you are not exporting via a bond.

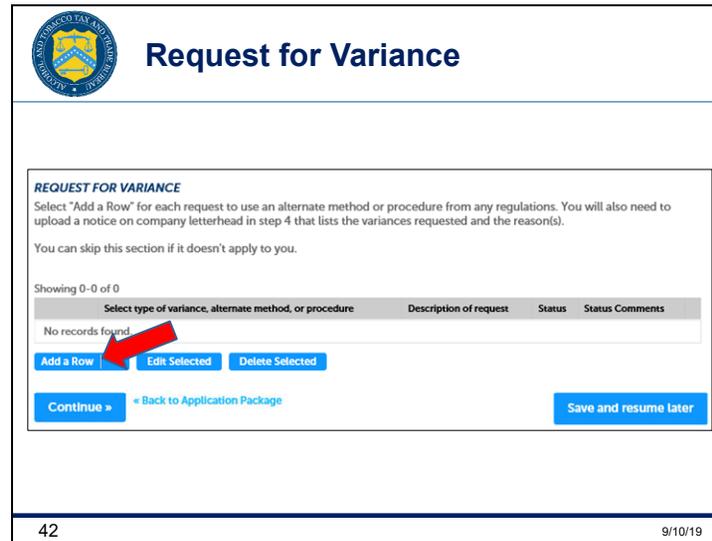
Showing 0-0 of 0

Bond kind	Effective date of bond (must be on or before date of TTB approval)	Bond coverage - total penal sum (\$)	Select bond category	Enter surety name	Enter surety bond number	Enter T-Note/bond - CLSIP number	Enter T-Note/bond - interest rate	Enter T-Note/bond - maturity date	Enter T-Note/bond - issue date	Enter execution date
No records found										

Add a Row
Edit Selected
Delete Selected

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V1: If you answered "yes" to the *Export Bond Information* question, you'll have to **Add a Row** in the *Export Bond Information Table*. If you answered "no," scroll down to the next table.



The screenshot shows a web interface for a 'Request for Variance'. At the top left is the logo of the Maryland Tax Authority. The title 'Request for Variance' is centered at the top. Below the title, there is a section titled 'REQUEST FOR VARIANCE' with instructions: 'Select "Add a Row" for each request to use an alternate method or procedure from any regulations. You will also need to upload a notice on company letterhead in step 4 that lists the variances requested and the reason(s). You can skip this section if it doesn't apply to you.' Below this text, it says 'Showing 0-0 of 0'. A table header is visible with columns: 'Select type of variance, alternate method, or procedure', 'Description of request', 'Status', and 'Status Comments'. The table body contains the text 'No records found'. Below the table are three buttons: 'Add a Row', 'Edit Selected', and 'Delete Selected'. A red arrow points to the 'Add a Row' button. At the bottom of the interface are two buttons: 'Continue »' and 'Save and resume later'. The footer of the page shows the number '42' on the left and the date '9/10/19' on the right.

V2: If you need to add a variance request to your application, which isn't that common, you do that in the *Request for Variance Table*. Click **Add a Row** to enter the necessary information. If you don't need to add a variance, click **Continue**.



Required Document Checklist

Step 3a

REQUIRED DOCUMENT CHECKLIST

Based on the information you have given us, the following documents need to accompany your application. Please edit the Method of Submission to tell us how you'll provide these documents:

- Documents you plan to upload: Mark as "Uploaded." [Learn more about the type of information that should be included in each document.](#)
- Documents already on file with TTB: Mark as "On File and Previously Approved by TTB."

Important: Please make any changes to the Method of Submission on your FINAL PASS through this application, since previous edits will be overwritten upon revisiting this page.

If no documents are listed in the table below, you are not required to upload any supporting documents and can continue your application.

Showing 0-0 of 0

Document Type	Comments	Method of Submission	Permit, registry, notice, or application tracking number
No records found.			

[Edit Selected](#)

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V1: Based on the answers you've provided, Permits Online will provide a list of documents that you must upload with your application. If all of the required documents are already on file with TTB, you may not be required to upload anything here, which is the case with this demonstration showing *No records found*.

Upload Required Documents

Step 3b: Upload Required Documents

Upload attachments here. Be sure to save all uploads before leaving this page using the 'Save Attachments' button.
View, download, or print attachments by selecting the document name.

Attachment List

Files can be up to 16 MB in size. Larger documents should be separated and uploaded as multiple files if necessary.
PDF file type is preferred.

Name	Document Type	Size	Date	Action
No records found.				

[Add](#)

[Continue >](#) [Back to Application Package](#) [Save and resume later](#)

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V2: If you have any documents to upload, the same steps we previously described apply here as well.

V1: In this demonstration, there are no files that must be uploaded at this stage. We already uploaded the *Request and Certification* letter to the Original Entity application. Therefore, we can click **Continue**.

Declare and Acknowledge

Step 4: Declare & acknowledge >> * indicates a required field

Declaration

DECLARE AND ACKNOWLEDGE
By checking the box below, you declare under penalty of perjury that you have examined this application, including accompanying statements, and it is true, correct, and complete to the best of your knowledge and belief.

You may not commence or engage in the operations covered by this application until you have received approval from the Director of the National Revenue Center.

I declare under penalties of perjury under the laws of the United States of America, that I have examined this application, including accompanying statements, and to the best of my knowledge and belief, it is true, correct, and complete: *

Declaration Date: *

[Continue >](#) [Back to Application Package](#) [Save and resume later](#)

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V2: After you read the declaration, acknowledge it by checking the **Declare and Acknowledge** box. The *Declaration Date* will populate automatically, then click **Continue**.

 **Editing Your Answers**

Step 5: Review

[Continue >](#) [Back to Application Package](#) [Save and resume later](#)

This is a summary of the information you provided to us.

Editing Your Answers

Please review your answers below.

Please note that you will not be able to edit the answers you gave on the first page of the application wizard because this information was used to build your application package. If you made a mistake in the wizard, you will need to [start over](#).

Application for Alcohol Wholesaler and/or Exporter

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V1: Next, you'll review your answers. If everything is correct, click **Continue**. If you notice that you missed something, you can select the **start over** link we've circled to add what's missing.

 **Submit Application Package**

Step 3: Application package
Based on the information you have provided, your application package consists of the application(s) shown below. Select "Start" to begin each application.
Once all applications are in "Ready to submit (edit)" status, you may select the "Submit application package" button. After submitting the application package, you will no longer be able to change any of the information.

Please complete the following applications:

Application for Alcohol Importer	Start
Application for Alcohol Wholesaler and/or Exporter	Ready to submit (edit)
Application for Original Entity	Ready to submit (edit)
Personnel Questionnaire	Start

[Submit Application Package »](#) [Save and resume later](#)

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V2: Then, you'll be directed back to your *Application package*. Complete any remaining applications by clicking on the appropriate **Start** link.

Submit Application Package (cont.)

New Applications Wizard

1 Determine applications 2 Review 3 Application package 4 Pay cash bond if applicable 5 Submission confirmation

Step 3: Application package

Based on the information you have provided, your application package consists of the application(s) shown below. Select "Start" to begin each application.

Once all applications are in "Ready to submit (edit)" status, you may select the "Submit application package" button. After submitting the application package, you will no longer be able to change any of the information.

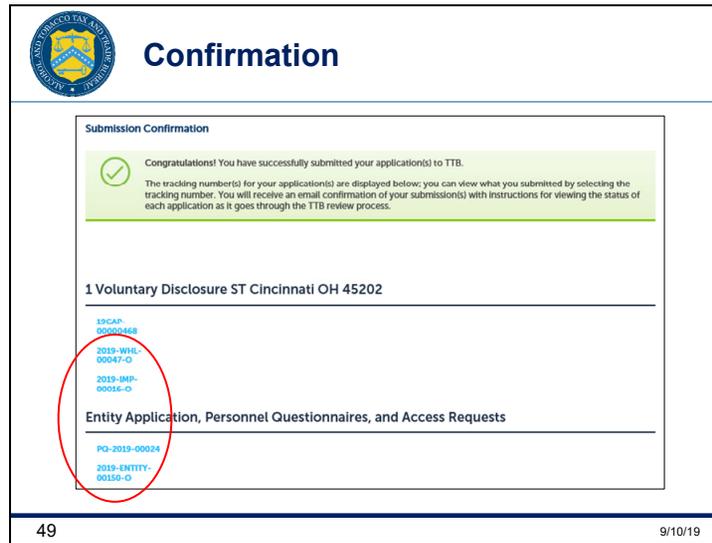
Please complete the following applications:

- Application for Alcohol Importer 45-6921475 / Voluntary Disclosure LLC [Ready to submit \(edit\)](#)
- Application for Alcohol Wholesaler and/or Exporter [Ready to submit \(edit\)](#)
- Application for Original Entity [Ready to submit \(edit\)](#)
- Personnel Questionnaire [Ready to submit \(edit\)](#)

[Submit Application Package >](#) [Save and resume later](#)

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V1: Once all of the applications have been completed, click the **Submit Application Package** button. You'll know the applications are all complete when you see a *Ready to submit* status next to each application.



The screenshot shows a confirmation window with the following content:

- Submission Confirmation**
- ✓ Congratulations! You have successfully submitted your application(s) to TTB.
- The tracking number(s) for your application(s) are displayed below; you can view what you submitted by selecting the tracking number. You will receive an email confirmation of your submission(s) with instructions for viewing the status of each application as it goes through the TTB review process.
- 1 Voluntary Disclosure ST Cincinnati OH 45202**
- 19CAP-00004458
 - 2019-WHL-00047-0
 - 2019-IMP-00016-0
- Entity Application, Personnel Questionnaires, and Access Requests**
- PG-2019-00024
 - 2019-ENTITY-00150-0

The tracking numbers for the 'Entity Application, Personnel Questionnaires, and Access Requests' section are circled in red.

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V2: Your submission confirmation window will pop up and your email confirmation will include the Tracking Numbers assigned to your applications.



Questions



Contact TTB at:

- 1-877-882-3277

OR

- CIC2019@ttb.gov

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V1: If you have any questions, please contact us by phone or email and we'll be happy to help you! Good luck and thanks for joining us!