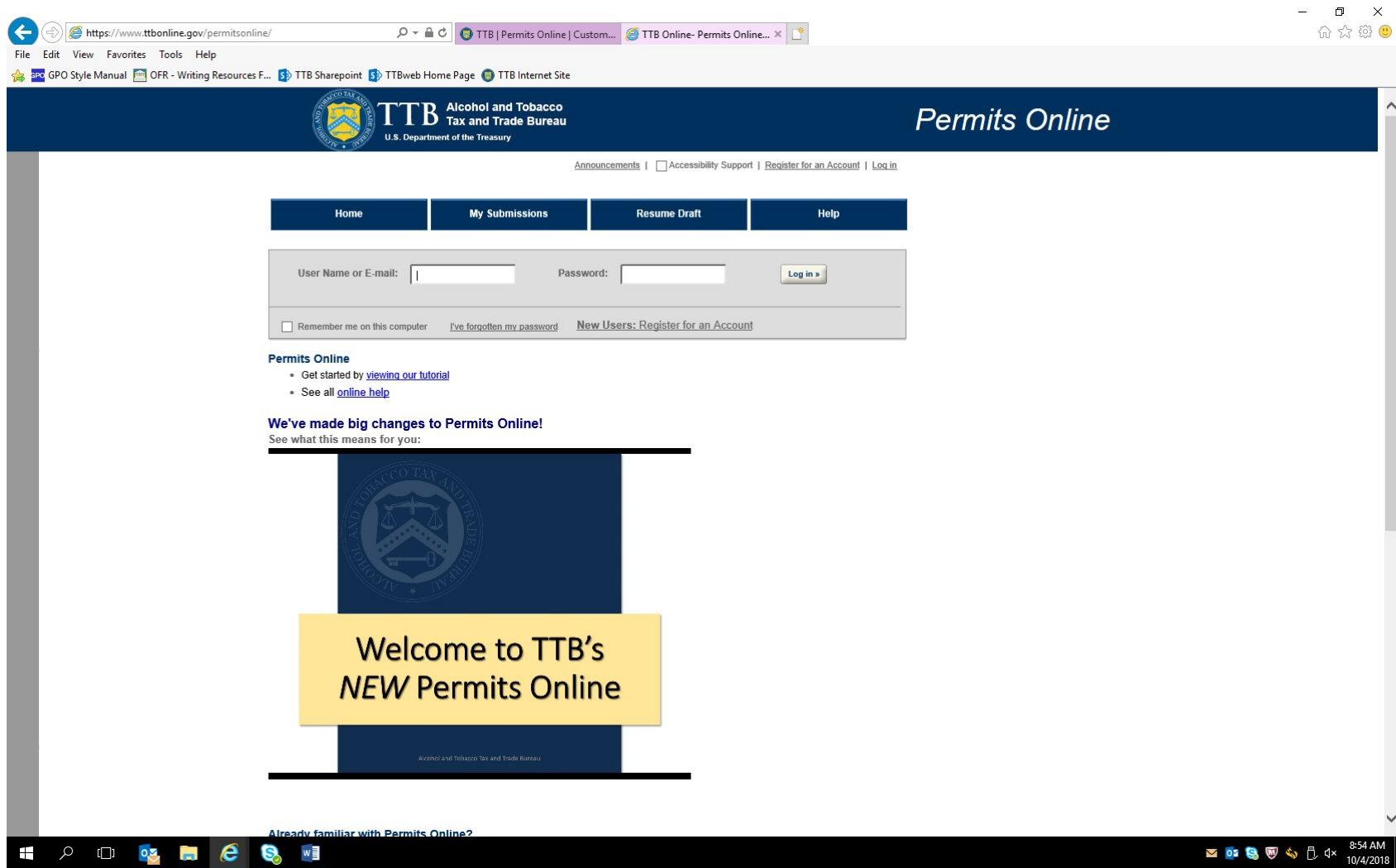


Permits Online (PONL) Screen Shots — Distilled Spirits Plant Operating Permit, OMB Control No. 1513-0040 (10-2018)

OMB No. 1513-0040, Application for Operating Permit under 26 U.S.C. 5171(d), is included within the Distilled Spirits Plant Application portion of TTB's "Permits Online" system (PONL) at <https://www.ttbonline.gov/permitsonline/>. This PONL application is equivalent to form TTB F 5110.25. Screen shots for the Distilled Spirits Plant Operating Permit Application follow:

PONL Log-in Screen:



PONL Log-in Screen (continued):

https://www.ttbonline.gov/permitsonline/

TTB | Permits Online | Custom... TTB Online- Permits Online...

File Edit View Favorites Tools Help

GPO Style Manual OFR - Writing Resources F... TTB Sharepoint TTBweb Home Page TTB Internet Site

# Welcome to TTB's NEW Permits Online

Alcohol and Tobacco Tax and Trade Bureau

**Already familiar with Permits Online?**  
Did you know:


- Now you can submit multiple changes as one amendment.
- You can amend business entity information on all of your permits, registrations, or notices with one submission.
- Most paper-filed applications can now be amended in Permits Online.
- Owner/officer information (OOI) applications are now called Personnel Questionnaires.

See [what's new with Permits Online](#)

Warning: This system is the property of the United States Department of Treasury. Unauthorized use of this system is strictly prohibited and subject to criminal and civil penalties. The Department may monitor, record, and audit any activity on the system and search and retrieve any information stored within the system. By accessing and using this system you are agreeing to abide by the [terms of use](#), and are consenting to such monitoring, recording, and information retrieval for law enforcement and other purposes.

**Don't have an account?**

[Register Now >](#)



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8:55 AM  
10/4/2018

Screen shown after successful log-in:

The screenshot shows a web browser window with the URL <https://www.ttbonline.gov/permitsonline/>. The browser tabs include "TTB | Permits Online | Custom..." and "TTB Online- Permits Online...". The browser's address bar shows the URL. The browser's menu bar includes "File", "Edit", "View", "Favorites", "Tools", and "Help". The browser's toolbar includes "GPO Style Manual", "OFR - Writing Resources F...", "TTB Sharepoint", "TTBweb Home Page", and "TTB Internet Site".

The main content area features a dark blue header with the TTB logo and the text "Alcohol and Tobacco Tax and Trade Bureau U.S. Department of the Treasury" and "Permits Online". Below the header, there is a navigation bar with four buttons: "Home", "My Submissions", "Resume Draft", and "Help".

The main content area is titled "Welcome Michael Hoover" and "You are now logged in." Below this, there is a section titled "What do you want to do today?" with four links and descriptions:

- 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.
- Amend approved permits, registrations or notices** ▶  
Make changes that require TTB approval, including trade names, use of the premises, power of attorney, transfers in bond, and more.
- Fill out a Personnel Questionnaire (PQ)** ▶  
PQs are required for owners, officers, and others associated with the business. Learn more about [who needs to fill out PQs](#) and how the PQ fits into the application process.
- Link additional records to my account** ▶  
Before you can view or amend records filed on paper or by a colleague, submit a request to have them added to your [My Submissions](#) page.

To the right of these links is a yellow box titled "Helpful resources:" with three links:

- [What's new](#)
- [Permits Online tutorial](#)
- [Application processing times](#)

Below the yellow box is a link: [See more online help](#) ▶

At the bottom of the page, there is a footer with the TTB logo and the text "Terms of Use | Privacy Act | Privacy Impact Assessment | Paperwork Reduction Act Notice | Questions? 877-882-3277 or [submit an online inquiry](#)".

The Windows taskbar at the bottom shows the Start button, search icon, task view icon, and several application icons (Outlook, File Explorer, Edge, Skype, Word). The system tray on the right shows the date and time: "8:57 AM 10/4/2018".

After clicking appropriate “What do you want to do today?” link, the Penalty of Perjury screen appears:

The screenshot shows a web browser window with the URL <https://www.ttbonline.gov/permitonline/>. The browser tabs include "TTB | Permits Online | Custom..." and "TTB Online- Permits Online...". The browser's address bar shows the URL. The browser's menu bar includes "File", "Edit", "View", "Favorites", "Tools", and "Help". The browser's toolbar includes "GPO Style Manual", "OFR - Writing Resources F...", "TTB Sharepoint", "TTBweb Home Page", and "TTB Internet Site".

The page header is dark blue and contains the TTB logo (Alcohol and Tobacco Tax and Trade Bureau, U.S. Department of the Treasury) on the left and the text "Permits Online" on the right. Below the header, there is a navigation bar with the following links: [Announcements](#) | [Logged in as: Michael Hoover](#) | [My Record Collections \(0\)](#) | [Reports \(15\)](#) | [Account Management](#) | [Log out](#).

Below the navigation bar, there are four buttons: "Home", "My Submissions", "Resume Draft", and "Help".

The main content area is titled "Rules and Responsibilities". It contains the following text: "Please read and accept the rules and responsibilities." Below this text is a scrollable box containing the following text: "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 business will be conducted. In addition, if this application is approved, the applicant will conduct operations..." Below the scrollable box is a checkbox labeled "I have read and I accept the above rules and responsibilities." Below the checkbox is a "Continue »" button.

At the bottom of the page, there is a footer containing the following links: [Terms of Use](#) | [Privacy Act](#) | [Privacy Impact Assessment](#) | [Paperwork Reduction Act Notice](#) | Questions? 877-882-3277 or [submit an online inquiry](#).

The Windows taskbar is visible at the bottom of the screen, showing the Start button, search icon, task view icon, and several application icons (Outlook, File Explorer, Edge, Skype, Word). The system tray shows the date and time: 8:58 AM, 10/4/2018.

# Permits Online (PONL) Screen Shots — Distilled Spirits Plant Operating Permit, OMB Control No. 1513-0040 (10-2018)

After accepting perjury statement, the New Applications wizard screen appears. The Application Contact information auto fills from PONL registration information:

https://www.ttonline.gov/permitsonline/

TTB | Permits Online | Custom... TTB Online- Permits Online... x

File Edit View Favorites Tools Help

GPO Style Manual OFR - Writing Resources F... TTB Sharepoint TTBweb Home Page TTB Internet Site

**TTB** Alcohol and Tobacco Tax and Trade Bureau  
U.S. Department of the Treasury

Permits Online

Announcements | Logged in as: Michael Hoover | My Record Collections (0) | Reports (15) | Account Management | Log out

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.

**Michael D. Hoover**  
Michael.Hoover@ttb.gov  
202-453-2135

**1310 G Street, NW., Box 12**  
**Washington, DC, 20005**

**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*

9:00 AM 10/4/2018

New Application Wizard screen continued:

https://www.ttbonline.gov/permitsonline/

TTB | Permits Online | Custom... TTB Online- Permits Online...

File Edit View Favorites Tools Help

GPO Style Manual OFR - Writing Resources F... TTB Sharepoint TTBweb Home Page TTB Internet Site

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

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?: --Select--

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.

Business Entity

ENTITY INFORMATION

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

\* Business structure: --Select--

State where incorporated or organized: \* --Select--

\* 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: ?

Make Sure Your Answers are Correct

9:03 AM 10/4/2018

New Application Wizard screen continued:

The screenshot shows a web browser window with the URL <https://www.ttbonline.gov/permitonline/>. The browser tabs include "TTB | Permits Online | Custom..." and "TTB Online- Permits Online...". The browser menu bar shows "File", "Edit", "View", "Favorites", "Tools", and "Help". The address bar contains "GPO Style Manual", "OFR - Writing Resources F...", "TTB Sharepoint", "TTBweb Home Page", and "TTB Internet Site".

**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.

**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:

**Make Sure Your Answers are Correct**

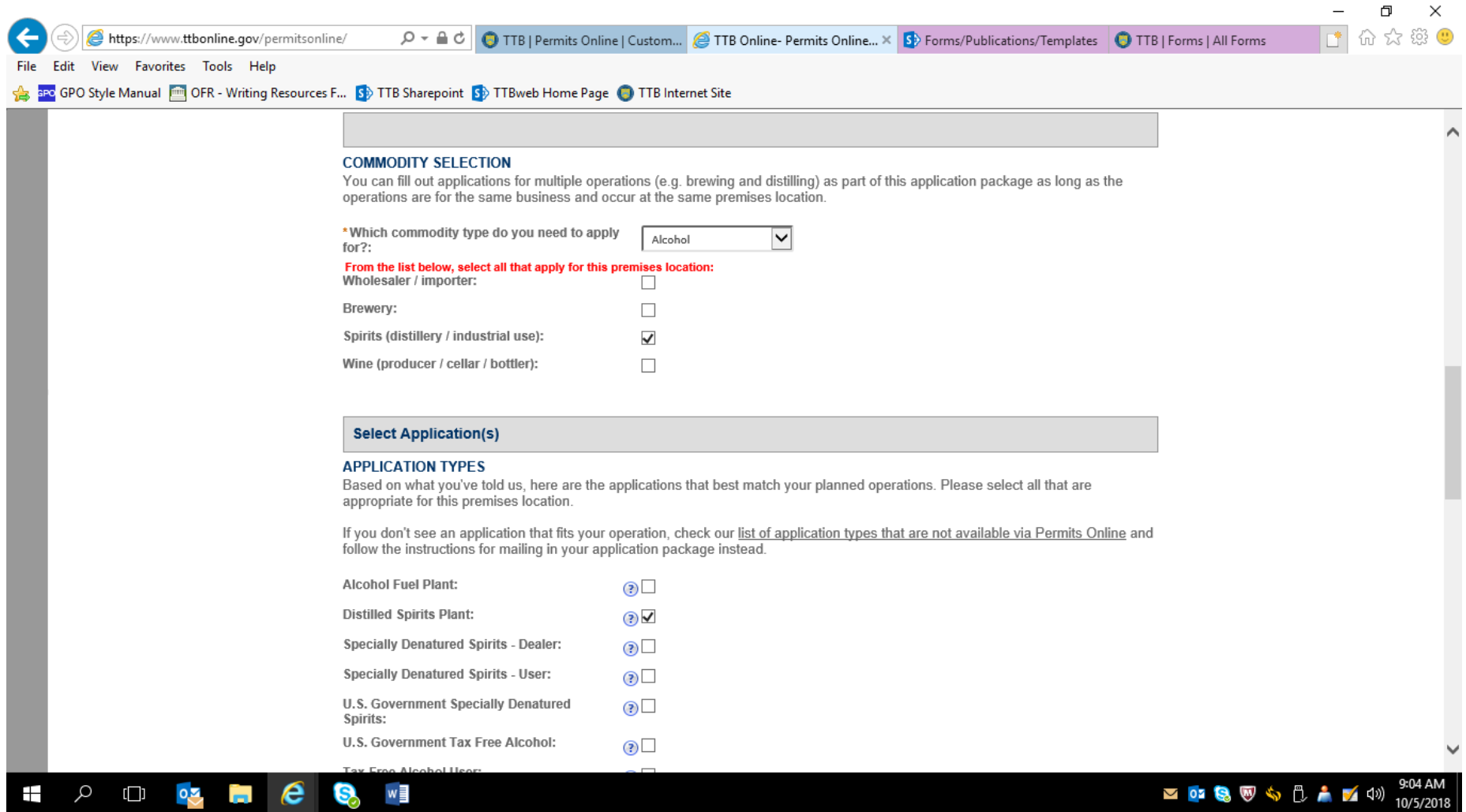
**CONFIRM**  
Thanks for telling us about your business and operation(s)! We're almost ready to build your custom application package. Before we do so, please review your answers to the questions above and be sure they are correct.

\* I have reviewed my answer choices and confirm  that they accurately reflect my proposed operation(s) at this premises:

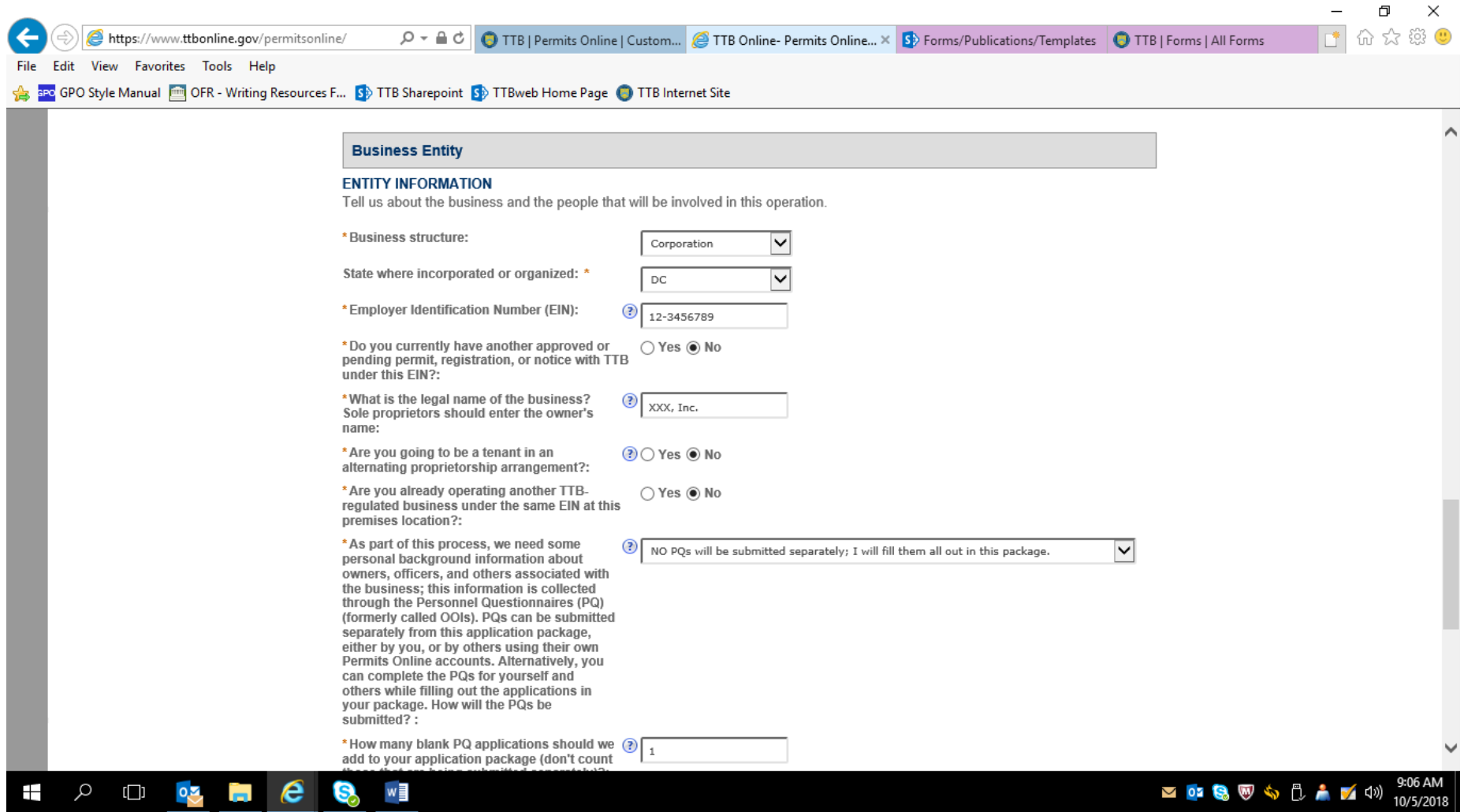
  
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Windows taskbar at the bottom shows the Start button, search icon, task view icon, and several application icons (Outlook, File Explorer, Edge, Teams, Word). The system tray on the right shows icons for mail, calendar, network, volume, and a clock displaying 9:03 AM on 10/4/2018.

Selecting “Alcohol” and “Spirits (distillery / industrial use)” in the Commodity Selection section, then “Distilled Spirits Plant” in the “Application Types” section results in these additional data fields appearing (similar data fields appear for other types of alcohol commodity selections):



Selecting “Corporation” in the Business Entity section, leads to this screen, including a confirmation statement:



After confirmation is made, the next screen allows the applicant to review the information submitted to this point in the PONL application:

The screenshot shows a web browser window with the URL <https://www.ttbonline.gov/permitsonline/>. The page header includes the TTB Alcohol and Tobacco Tax and Trade Bureau logo and the text "Permits Online". The user is logged in as Michael Hoover. A navigation bar contains links for Home, My Submissions, Resume Draft, and Help. The main content area is titled "New Applications Wizard" and shows a progress bar with five steps: 1 Determine applications, 2 Review (current step), 3 Application package, 4 Pay cash bond if applicable, and 5 Submission confirmation. Below the progress bar, there is a "Continue" button and a "Save and resume later" option. The text indicates that the user is reviewing a summary of information provided and that answers cannot be edited at this stage. The "Application Contact" section lists Michael D. Hoover's contact information. The "Premises Address" section shows "1 X Street, Washington DC 22153". The "COMMOGITY SELECTION" section asks for commodity type information, with the following responses: Wholesaler / importer: No; Brewery: No; Spirits (distillery / industrial use): Yes; Wine (producer / cellar / bottler): No.

TTB Alcohol and Tobacco Tax and Trade Bureau  
U.S. Department of the Treasury

Permits Online

Announcements | Logged in as: Michael Hoover | My Record Collections (0) | Reports (15) | Account Management | Log out

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 2: Review

Continue » Save and resume later: [icon]

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

Application Contact

Michael D. Hoover  
1310 G Street, NW, Box 12  
Washington, DC, 20005  
United States

Primary Phone: 202-453-2135  
Email Address: Michael.Hoover@ttb.gov

Premises Address

1 X Street  
Washington DC 22153

COMMOGITY SELECTION

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

Wholesaler / importer:	No
Brewery:	No
Spirits (distillery / industrial use):	Yes
Wine (producer / cellar / bottler):	No

New Application Wizard—Review of Information (continued)

The screenshot shows a web browser window with the URL <https://www.ttbonline.gov/permitsonline/>. The browser tabs include "TTB | Permits Online | Custom..." and "TTB Online- Permits Online...". The page content is as follows:

**APPLICATION TYPES**

Alcohol Fuel Plant:	No
Distilled Spirits Plant:	Yes
Specially Denatured Spirits - Dealer:	No
Specially Denatured Spirits - User:	No
U.S. Government Specially Denatured Spirits:	No
U.S. Government Tax Free Alcohol:	No
Tax-Free Alcohol User:	No

**Business Entity**

**ENTITY INFORMATION**

Business structure: Corporation  
State where incorporated or organized: DC  
Employer Identification Number (EIN): 12-3456789

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

What is the legal name of the business? Sole proprietors should enter the owner's name: XXX, Inc.

Are you going to be a tenant in an alternating proprietorship arrangement?: No

Are you already operating another TTB-regulated business under the same EIN at this premises location?: No

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 OOs). 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? : NO PQs will be submitted separately; I will fill them all out in this package.

How many blank PQ applications should we add to your application package (don't count those that are being submitted separately?): 1

**Make Sure Your Answers are Correct**

**CONFIRM**

I have reviewed my answer choices and confirm that they accurately reflect my proposed operation(s) at this premises: Yes

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

The Windows taskbar at the bottom shows the time as 9:48 AM on 10/5/2018.

Application for a Distilled Spirits Plant—Initial Page

The screenshot shows a web browser window with the URL <https://www.ttbonline.gov/permitsonline/>. The page header includes the TTB Alcohol and Tobacco Tax and Trade Bureau logo and the text "Permits Online". A navigation bar contains links for Home, My Submissions, Resume Draft, and Help. The main content area is titled "Application for Distilled Spirit Plant (Beverage and Industrial)" and features a progress bar with seven steps: 1 Mailing address, 2 Operation description, 3 Environmental & bond info., 4 Upload required documents, 5 Declare & acknowledge, 6, and 7. The current step is "Step 1: Mailing address >>". Below this, there is a section for "Application Contact" with a sub-header "Application Contact" and a note: "Please review the contact information we have on file for you. This should be your information, as the person filling out this application package, even if you're doing it on behalf of someone else. If it is incorrect update [your information](#) and then start a new application package." The contact information listed is for Michael D. Hoover, with email Michael.Hoover@ttb.gov and phone number 202-453-2135. The address is 1310 G Street, NW, Box 12, Washington, DC, 20005. Below this is the "Entity Information" section, which includes fields for Business Name (containing "TESTING DO NOT APPROV") and EIN (containing "12-3456789"). The "Permits and Registration Info" section has empty input fields for Permit Number, Registry Number, and Operating Permit Number. At the bottom, there is a "Premises Address" section. The Windows taskbar at the bottom shows the time as 9:50 AM on 10/5/2018.

Application for a Distilled Spirits Plant—Initial Page (continued)

Permit Number:

Registry Number:

Operating Permit Number:

**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

**Mailing Address**

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

[Back to Application Package](#)

Save and resume later:



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Application for a Distilled Spirits Plant—Operations Description

https://www.ttbonline.gov/permitsonline/

TTB Alcohol and Tobacco Tax and Trade Bureau U.S. Department of the Treasury

Permits Online

Announcements | Logged in as: Michael Hoover | My Record Collections (0) | Reports (15) | Account Management | Log out

Home My Submissions Resume Draft Help

1 error(s) occurred on current page:  
Please click the specific error item below to navigate to the failed field and correct your input:  
1. New distilled spirits plant: \*

Application for Distilled Spirit Plant (Beverage and Industrial)

1 Mailing address 2 Operation description 3 Environmental & bond info. 4 Upload required documents 5 Declare & acknowledge 6 7

Step 2: Operation description >> \* indicates a required field

Step 2a

DBA/OPERATING NAME

Doing Business As / Operating Name: ?

REASON FOR THE APPLICATION

1. New distilled spirits plant: \* ?

Out-of-State Relocation: \* ?

Change of Proprietorship - Ownership: \* ?

Change of General Partner(s): \* ?

DSP OPERATION TYPE

Select the type of Distilled Spirits Plant (DSP) operation(s) you are applying for: --Select--

DSP BEVERAGE OPERATION INFO

Distiller: ?

Warehouseman: ?

Processor (Rectifier): ?

Processor (Bottling): ?

9:52 AM 10/3/2018

Application for a Distilled Spirits Plant—Operations Description (continued)

The screenshot shows a web browser window with the URL <https://www.ttonline.gov/permitsonline/>. The browser tabs include "TTB | Permits Online | Custom..." and "TTB Online- Permits Online...". The browser menu bar shows "File", "Edit", "View", "Favorites", "Tools", and "Help".

The form content is as follows:

- Warehouseman:  ?
- Processor (Rectifier):  ?
- Processor (Bottling):  ?
- Provide the total proof gallons of spirits that can be produced daily:
- Describe the step by step production procedure used to produce spirits from an original source. Begin with the treating, mashing, or fermenting of the raw materials and continue through each step of the distilling, purifying and refining process, until production is complete:
- Describe how bulk spirits will be stored:
- Provide the bulk storage capacity (in gallons):
- Describe the storage system for spirits bottled and cased or otherwise packaged and placed in approved containers for removal from bonded premises:
- Will spirits be redistilled?:  Yes  No

---

**DSP INDUSTRIAL OPERATION INFO**

- Distiller:  ?
- Warehouseman:  ?
- Bottling or Packaging:
- Denaturing Spirits:  ?
- Manufacturing Articles:  ?
- Processor - Other:  ?
- If other, specify:
- Provide the total proof gallons of spirits that can be produced daily:
- Describe the step by step production procedure used to produce spirits from an original source. Begin with the treating, mashing, or fermenting of the raw materials and continue through each step of the distilling, purifying and refining process, until production is complete:
- Describe how bulk spirits will be stored:  ?

The Windows taskbar at the bottom shows the Start button, search icon, and several application icons. The system tray on the right shows the time as 9:53 AM on 10/5/2018.

Application for a Distilled Spirits Plant—Operations Description (continued)

Provide the bulk storage capacity (in gallons):

Describe the storage system for spirits bottled and cased or otherwise packaged and placed in approved containers for removal from bonded premises:

Will spirits be redistilled?:  Yes  No

**DSP INFORMATION**

Describe each tract of land that makes up the distillery by using directions and distances. Please describe the land only:

Provide the dimensions (size) of the bonded premises:

Describe the construction of each building that is part of the bonded premises:

Describe the operations conducted in each building that is part of the bonded premises:

List the location of each door for the buildings that are part of the bonded premises:

If only part of the building is being used for DSP operations, list and describe each floor/room(s) that are part of the bonded premises and the operations being conducted. Enter N/A if the entire building is being used for the DSP operations:

List any outside tanks that will be used for production, storage and processing of spirits, and/or for denaturing sprits, articles, or wine:

Describe the general premises which includes all areas of the plant that are not covered under the bond:  Enter "None" if this doesn't apply to your operation.

Application for a Distilled Spirits Plant—Operations Description (continued)

Describe the general premises which includes all areas of the plant that are not covered under the bond:

Will you be alternating?:  Yes  No

Describe any area of the distilled spirits plant that will be shared with another business or type of operation, including all areas, floors, rooms, and equipment:

Provide the maximum combined number of proof gallons that will be produced, stored, and in transit to the bonded premises during a 15 day period:

I certify that I AM required to provide a bond:

I certify that I AM NOT required to provide a bond:

Describe the plant security, including methods used to secure buildings or plant operations located within a portion of the building and any outdoor tanks:

Will any guard personnel be employed?:  Yes  No

Will any electronic or mechanical alarm system be used?:  Yes  No

I certify that locks used will meet the following specifications as required in the Code of Federal Regulations, Part, 19.192 (f). (i) Corresponding serial number on the lock and on the key, except for master key locking systems; (ii) Case hardened shackle at least one-fourth inch in diameter, with heel and toe locking; (iii) Body width of at least 2 inches; (iv) Captured key feature (key may not be removed while shackle is unlocked); (v) A tumbler with at least 5 pins; and (vi) A lock and key containing no biting data:

List all persons, by their position and title, who have access to the keys for the locks:

By checking this box I certify that accounting records for this distilled spirits plant will be maintained in accordance with generally accepted accounting principles:

Describe any other business that will be conducted on the premises. Please include a description of the business, a list of buildings and/or equipment that will be used, and a statement of the relationship of the business to the distilled spirits plant, if there is any:

Application for a Distilled Spirits Plant—Operations Description (continued)

Describe any other business that will be conducted on the premises. Please include a description of the business, a list of buildings and/or equipment that will be used, and a statement of the relationship of the business to the distilled spirits plant, if there is any:

Will you have a tasting room?:  Yes  No

If you charge for samples, parking, or tours then you are prohibited from establishing a tasting room on the premises. The tasting room must be separate from the distillery with floor to ceiling walls and must have its own entrance. It cannot be part of the distilled spirits plant and must be shown on the diagram. Do you understand this requirement?:  Yes  No

If you do not plan to charge for samples, parking, or tours then the tasting room can be located on the general premises, but must be separate from the bonded premises with floor to ceiling walls, have its own entrance and be shown on the diagram. Do you understand this requirement?:  Yes  No

Will you have a retail store?:  Yes  No

If you are only selling merchandise (e.g., shirts, souvenirs) then the retail store can be located on the general premises and should also be shown on the diagram. Do you understand this requirement?:  Yes  No

Do you plan to sell any alcohol in the retail store?:  Yes  No

If any alcohol is sold in the retail store then you are prohibited from establishing it on the premises. The retail store must be separated from the premises by floor to ceiling wall separation and have its own entrance from the outside. Do you understand this requirement?:  Yes  No

---

**OWNER BACKGROUND INFORMATION**

Has any shareholder with more than 10% voting stock, sole owner, general partner, LLC member/manager, or corporate officer or director 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

If yes, please provide details of each event, including dates and reasons:

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 local law that is a disqualifying offense?:  Yes  No

Application for a Distilled Spirits Plant—Operations Description (continued)

are prohibited from establishing it on the premises. The retail store must be separated from the premises by floor to ceiling wall separation and have its own entrance from the outside. Do you understand this requirement?:

---

**OWNER BACKGROUND INFORMATION**

Has any shareholder with more than 10% voting stock, sole owner, general partner, LLC member/manager, or corporate officer or director 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

If yes, please provide details of each event, including dates and reasons:

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

If yes, provide details of each event, including dates, places, and final disposition:

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

---

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Application for a Distilled Spirits Plant—Environmental and Bond Information

TTB Alcohol and Tobacco Tax and Trade Bureau  
U.S. Department of the Treasury

Permits Online

Announcements | Logged in as: Michael Hoover | My Record Collections (0) | Reports (15) | Account Management | Log out

Home My Submissions Resume Draft Help

Application for Distilled Spirit Plant (Beverage and Industrial)

1 Mailing address 2 Operation description 3 Environmental & bond info. 4 Upload required documents 5 Declare & acknowledge 6 7

Step 3: Environmental & bond info. >> \* indicates a required field

Step 3a

**WATER QUALITY INFORMATION**  
Enter "Not Applicable" as needed

List any liquid waste that may be released into navigable waters such as rivers, canals, or lakes:

Provide beginning and ending dates for release:

Describe how you will monitor the quality and characteristics of the discharge:

Step 3b

**DSP EQUIPMENT**  
Select "Add a Row" to list all stills, tanks and condensers used in production, storage and processing of distilled spirits, wine, denatured spirits and articles.

Showing 0-0 of 0

Select type of Equipment	If other, give description	Serial Number	Capacity	Kind of Still	If other still, please describe	Intended Use
No records found.						

Add a Row Edit Selected Delete Selected

DSP BOND

Application for a Distilled Spirits Plant—Environmental and Bond Information (continued) — Adding DSP Equipment:

**Step 3a**

**WATER QUALITY INFORMATION**  
Enter "Not Applicable" as needed

List any liquid waste that may be released into navigable waters such as rivers, canals, or lakes:

Provide beginning and ending dates for release:

**DSP EQUIPMENT**

Select "Add a Row" to list all stills, tanks and condensers used in production, storage and processing of distilled spirits, wine, denatured spirits and articles.

\*Select type of Equipment:  If other, please describe:  Serial Number:

Capacity:  Kind of Still:  If other, please describe:

Intended Use:

You can skip this section if you are not required to furnish a bond.

Showing 0-0 of 0

List all Select locations Type covered of under Bond this bond	Effective Date of Bond	Operations Coverage	Withdrawal Coverage	Amount of Bond	Bond Category	Enter Surety Name	Enter Surety Bond Number	Enter T-Note/CUSIP Number	Enter Bond Interest Rate	Enter Bond Maturity Date	Enter T-Note/Bond Issue Date	Enter Bond Exec Date
No records found.												

Application for a Distilled Spirits Plant—Environmental and Bond Information (continued)

https://www.ttbonline.gov/permitsonline/

TTB | Permits Online | Custom... TTB Online- Permits Online...

Select type of Equipment. If other, give description Serial Number Capacity Kind of Still If other still, please describe Intended Use

No records found.

Add a Row Edit Selected Delete Selected

**DSP BOND**

If you are required to furnish a bond, select "Add a Row" to provide your DSP Bond information ([find out if you need a bond](#)).

You will also be required to upload a corresponding bond form on the next page. Use [this worksheet](#) to determine the right amount of bond coverage for you.

You can skip this section if you are not required to furnish a bond.

Showing 0-0 of 0

List all Select locations Type covered of Bond this bond	Effective Date of Bond	Operations Coverage	Withdrawal Coverage	Amount of Bond	Bond Category	Enter Surety Name	Enter Surety Number	Enter T-Note/Bond - CUSIP	Enter T-Note/Bond - Interest Rate	Enter T-Note/Bond - Maturity Date	Enter T-Note/Bond Exec - Issue Date	Enter T-Note/Bond Exec Date
No records found.												

Add a Row Edit Selected Delete Selected

**TRANSFER IN BOND**

If you will receive bulk spirits and/or denatured spirits in bond from another domestic distilled spirits plant or alcohol fuel producer you must complete this section, even if you are not required to obtain a bond. If you are bonded, you are responsible for ensuring that the liability on all spirits and denatured spirits 'on hand' and 'in transit' will not exceed your bond coverage. Select "Add a Row" to identify each such supplier.

Once approved, a transfer in bond form will be attached to your application. You should supply a copy to the supplier(s) transferring the spirits to you.

Showing 0-0 of 0

Serial Number	Bond Exemption	To be Transferred Spirits	To be Transferred Denatured Spirits	Permit/Registry Number of Shipper	Premise Address of Shipper	Company Name of Shipper	Approval Date of bond	Do you have maximum bond coverage?	Amount of Operations Coverage	Quantity of Spirits Authorized to be Transferred	Quantity of Denatured Spirits Authorized to be Transferred	Name and Title of Authorized Person for Receiving Transferred Plant
No records found.												

Add a Row Edit Selected Delete Selected

**ALTERNATION OF PREMISES**

Alternation of premises is where the premises is used by the same owner to conduct different operations (e.g. brewing and distilling). If applicable, select "Add a Row" to identify each additional operation.

You do not need to add a row for the operation covered by this application.

Showing 0-0 of 0

Select Alternating Commodity Type	Permit Number (if known)	Registry Number (if known)	Operating Permit Number (if known)	Brewers Notice Registry Number	Application Tracking Number
No records found.					

Application for a Distilled Spirits Plant—Environmental and Bond Information (continued) — Adding a DSP Bond

**DSP EQUIPMENT**  
Select "Add a Row" to list all stills, tanks and condensers used in production, storage and processing of distilled spirits, wine, denatured spirits and articles.

Showing 1-1 of 1

Select type of Equipment	If other, give description	Serial Number	Capacity	Kind of Still	If other still, please describe	Intended Use	Actions
<input type="checkbox"/>	Tank	12345XXXX	100			Tank - Storage	

**DSP BOND**

If you are required to furnish a bond, select "Add a Row" to provide your DSP Bond information ([find out if you need a bond](#)).

You will also be required to upload a corresponding bond form on the next page. Use [this worksheet](#) to determine the right amount of bond coverage for you.

You can skip this section if you are not required to furnish a bond.

Select bond type:

List all locations covered under this bond:

\* Bond kind:

Effective date of bond (must be on or before date of TTB approval):

Bond coverage - operations (\$):

Bond coverage - withdrawal (\$):

Amount of bond (\$):

Select bond category:

Enter surety name:

Enter surety bond number:

Enter T-Note/bond - CUSIP number:

Enter T-Note/bond - interest rate:

Enter T-Note/bond - maturity date:

Enter T-Note/bond - issue date:

Enter execution date:

OK Cancel

**ALTERNATION OF PREMISES**  
Alternation of premises is where the premises is used by the same owner to conduct different operations (e.g. brewing and distilling). If applicable, select "Add a Row" to identify each additional operation.

Application for a Distilled Spirits Plant—Environmental and Bond Information (continued)

The screenshot displays a web browser window with the URL <https://www.ttbonline.gov/permitsonline/>. The page content is as follows:

**ALTERNATION OF PROPRIETORS**  
 If you are sharing the use of the premises with any other distilled spirits plant, select "Add a Row" for each additional proprietor conducting operations at this location. You don't need to add a row for your business.  
 You can skip this section if it doesn't apply to you.

Showing 0-0 of 0

Select Alternating Role	Host Name	Host Permit Number	Host Registry Number	Tenant Name	Tenant Permit Number	Tenant Registry Number	Co-Tenant Name	Co-Tenant Permit Number	Co-Tenant Registry Number	Host Tracking Number
No records found.										

**NON-CONTIGUOUS LOCATIONS**  
 If any part of your operation will take place at a location that is not adjacent to the premises location, select "Add a Row" for each additional location. The use of the non-contiguous location must be a continuation of the operation at the primary premises. If it is a stand-alone operation you must submit a separate application.  
 You can skip this section if it doesn't apply to you.

Showing 0-0 of 0

Non-contiguous Location Address	Description of Non-contiguous Location	Driving distance from the primary operation	Description of proposed Operation(s)
No records found.			

**REQUEST FOR VARIANCE**  
 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.

Showing 0-0 of 0

Variance, Alternate Method, Special Permission Type	Description of Request	Status	Status Comments
No records found.			

**Application Information**

**CONSENT OF SURETY**  
 If you are required to furnish a bond and you will also use that bond to cover additional operations, select "Add a Row" for each reason you need to extend the terms of your bond. See a [list of examples](#) that will require a Change in Bond (Consent of Surety).  
 NOTE: A [TTB Form 5000.18, Change in Bond \(Consent of Surety\)](#) must be completed and uploaded later in this application.  
 You can skip this section if it doesn't apply to you.

Showing 0-0 of 0

Enter the name of the Corporate Surety	Select the form number of the bond that you are changing	Enter the Total Penal Sum	Enter the Effective Date of this Change of Bond	Description of change
No records found.				

Application for a Distilled Spirits Plant—Environmental and Bond Information (continued)

stand-alone operation you must submit a separate application.  
You can skip this section if it doesn't apply to you.

Showing 0-0 of 0

Non-contiguous Location Address	Description of Non-contiguous Location	Driving distance from the primary operation	Description of proposed Operation(s)
No records found.			

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

**REQUEST FOR VARIANCE**  
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.

Showing 0-0 of 0

Variance, Alternate Method, Special Permission Type	Description of Request	Status	Status Comments
No records found.			

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

**Application Information**

**CONSENT OF SURETY**  
If you are required to furnish a bond and you will also use that bond to cover additional operations, select "Add a Row" for each reason you need to extend the terms of your bond. See a [list of examples](#) that will require a Change in Bond (Consent of Surety).  
NOTE: A [TTB Form 5000.18, Change in Bond \(Consent of Surety\)](#) must be completed and uploaded later in this application.  
You can skip this section if it doesn't apply to you.

Showing 0-0 of 0

Enter the name of the Corporate Surety	Select the form number of the bond that you are changing	Enter the Total Penal Sum	Enter the Effective Date of this Change of Bond	Description of change
No records found.				

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

[Continue](#) [Back to Application Package](#)

Save and resume later:

[Terms of Use](#) | [Privacy Act](#) | [Privacy Impact Assessment](#) | [Paperwork Reduction Act Notice](#) | Questions? 877-882-3277 or [submit an online inquiry](#)

Application for Distilled Spirit Plant –Required Document Checklist

The screenshot shows the TTB Permits Online application interface. At the top, there is a navigation bar with the TTB logo and the text "Alcohol and Tobacco Tax and Trade Bureau U.S. Department of the Treasury". The page title is "Permits Online". Below the navigation bar, there are several tabs: "Home", "My Submissions", "Resume Draft", and "Help".

The main content area displays the application progress for "Application for Distilled Spirit Plant (Beverage and Industrial)". The progress bar shows seven steps: 1. Operation description, 2. Environmental & bond info., 3. Upload required documents (highlighted), 4. Declare & acknowledge, 5. Review, and 6. 7. A red asterisk indicates a required field.

**Step 4: Upload required documents >>**

**Step 4a**

**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 1-4 of 4

Document Type	Comments	Method of Submission	Permit, Registry or Tracking Number if on file with TTB	Actions
<input type="checkbox"/> Diagram		Uploaded		<a href="#">Actions</a>
<input type="checkbox"/> Source of Funds Documentation		Uploaded		<a href="#">Actions</a>
<input type="checkbox"/> Bond Form		Uploaded		<a href="#">Actions</a>
<input type="checkbox"/> Lease Agreement or Proof of Property Ownership		Uploaded		<a href="#">Actions</a>

[Edit Selected](#)

**Step 4b: 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.

Application for Distilled Spirit Plant –Required Document Checklist (Continued)

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 1-4 of 4

<input type="checkbox"/> Document Type	Comments	Method of Submission	Permit, Registry or Tracking Number if on file with TTB	
<input type="checkbox"/> Diagram		Uploaded		<a href="#">Actions</a> ▼
<input type="checkbox"/> Source of Funds Documentation		Uploaded		<a href="#">Actions</a> ▼
<input type="checkbox"/> Bond Form		Uploaded		<a href="#">Actions</a> ▼
<input type="checkbox"/> Lease Agreement or Proof of Property Ownership		Uploaded		<a href="#">Actions</a> ▼

[Edit Selected](#)

**Step 4b: 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:

[Terms of Use](#) | 
 [Privacy Act](#) | 
 [Privacy Impact Assessment](#) | 
 [Paperwork Reduction Act Notice](#) | 
 Questions? 877-882-3277 or [submit an online inquiry](#)

Application for Distilled Spirit Plant---Declare and Acknowledge

https://www.ttbonline.gov/permitsonline/

TTB Alcohol and Tobacco Tax and Trade Bureau  
U.S. Department of the Treasury

Permits Online

Announcements | Logged in as: Michael Hoover | My Record Collections (0) | Reports (15) | Account Management | Log out

Home My Submissions Resume Draft Help

Application for Distilled Spirit Plant (Beverage and Industrial)

1 2 3 Environmental & bond info. 4 Upload required documents 5 Declare & acknowledge 6 Review 7 Application package

Step 5: Declare & acknowledge >>

**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:

[Terms of Use](#) | [Privacy Act](#) | [Privacy Impact Assessment](#) | [Paperwork Reduction Act Notice](#) | Questions? 877-882-3277 or [submit an online inquiry](#)

10:08 AM 10/5/2018

Application for Distilled Spirit Plant---Review

The screenshot shows a web browser window displaying the TTB Permits Online application review page. The browser address bar shows the URL <https://www.ttbonline.gov/permitsonline/>. The page header includes the TTB Alcohol and Tobacco Tax and Trade Bureau logo and the text "Permits Online". The user is logged in as Michael Hoover. The application progress bar shows seven steps: 1, 2, 3 Environmental & bond info, 4 Upload required documents, 5 Declare & acknowledge, 6 Review (current step), and 7 Application package. The "Review" step is highlighted in dark blue. Below the progress bar, there are navigation buttons: "Continue" (with a right arrow), "Back to Application Package" (with a left arrow), and "Save and resume later:" with a save icon. The main content area contains a summary of the information provided, followed by a section titled "Editing Your Answers" with a greyed-out background. Below this, there is a section for "Application for Distilled Spirit Plant (Beverage and Industrial)" with a sub-section for "Application Contact" containing the following information:

Michael D. Hoover 1310 G Street, NW., Box 12 Washington, DC, 20005 United States	Primary Phone:202-453-2135 Email Address:Michael.Hoover@ttb.gov
---	--

Below the contact information is a section for "Entity Information" with the following details:

<b>ENTITY INFORMATION</b>	
Business Name:	TESTING DO NOT APPROVE
EIN:	12-3456789

Next is a section for "PERMITS AND REGISTRATION INFO" with the following details:

Permit Number:	
Registry Number:	
Operating Permit Number:	

Finally, there is a section for "Premises Address" with the following details:

Premises Address	
1 X Street	

The Windows taskbar at the bottom shows the system tray with the date and time: 10:09 AM 10/5/2018.

Application for Distilled Spirit Plant---Review (Continued)

Operating Permit Number:

**Premises Address**

1 X Street  
Washington DC 22153

**Mailing Address**

Michael D. Hoover  
1310 G Street, NW., Box 12  
Washington, DC, 20005  
United States

Primary Phone:202-453-2135  
Email Address:Michael.Hoover@ttb.gov

**Step 2a**

**DBA/OPERATING NAME**  
Doing Business As / Operating Name:

**REASON FOR THE APPLICATION**  
New distilled spirits plant: Yes

**DSP OPERATION TYPE**  
Select the type of Distilled Spirits Plant (DSP) operation(s) you are applying for: Industrial Only

**DSP BEVERAGE OPERATION INFO**

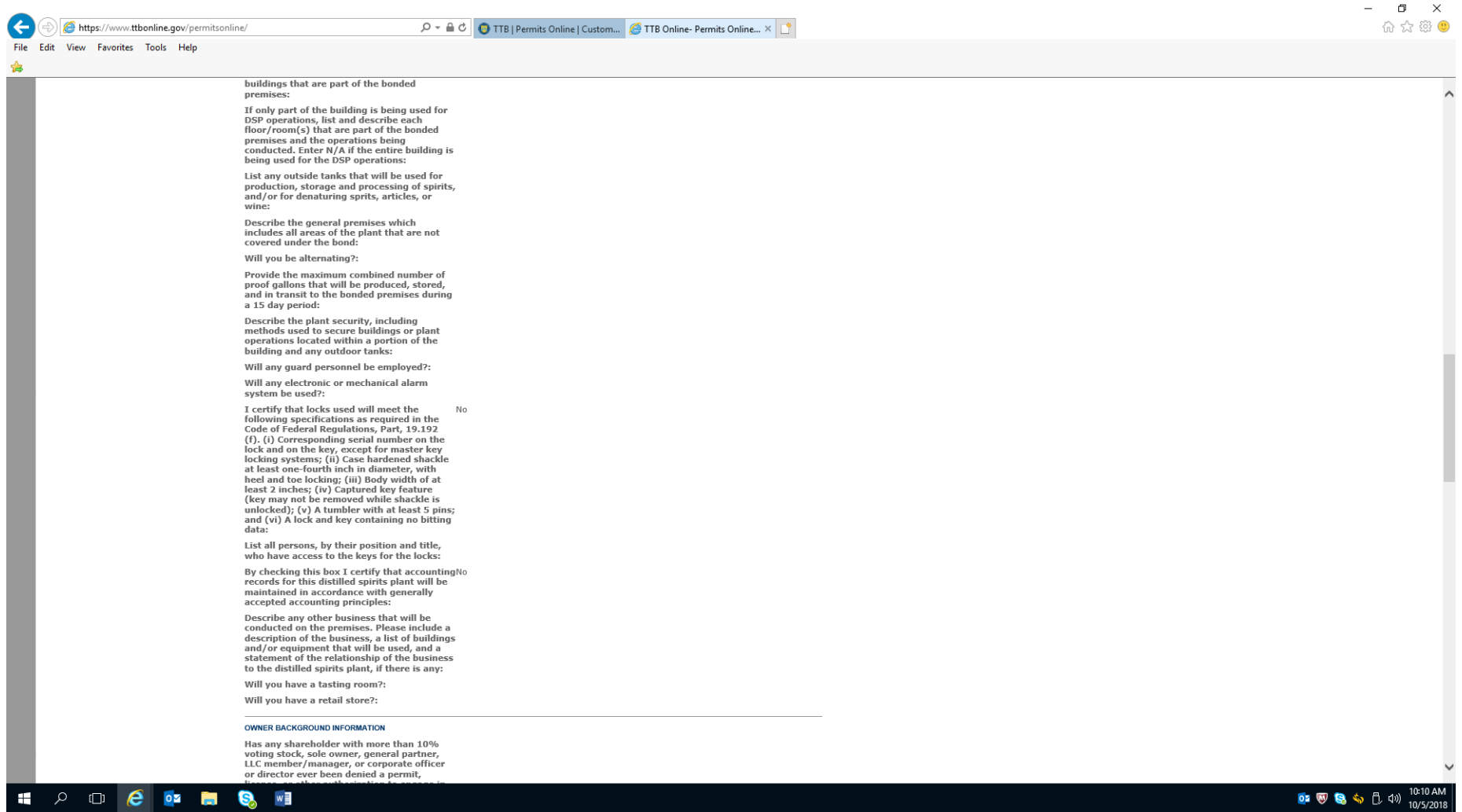
**DSP INDUSTRIAL OPERATION INFO**

Distiller: Yes  
Warehouseman: No  
Bottling or Packaging: No  
Denaturing Spirits: No  
Manufacturing Articles: No  
Processor - Other: No

Provide the total proof gallons of spirits that can be produced daily:  
Describe the step by step production procedure used to produce spirits from an original source. Begin with the treating, mashing, or fermenting of the raw materials and continue through each step of the distilling, purifying and refining process, until production is complete:

**DSP INFORMATION**  
Describe each tract of land that makes up the distillery by using directions and distances. Please describe the land only:  
Provide the dimensions (size) of the bonded premises:  
Describe the construction of each building that is part of the bonded premises:

Application for Distilled Spirit Plant---Review (Continued)



Application for Distilled Spirit Plant---Review (Continued)

Browser address bar: <https://www.ttbonline.gov/permitsonline/>

Page Title: TTB | Permits Online | Custom... TTB Online- Permits Online...

File Edit View Favorites Tools Help

---

**OWNER BACKGROUND INFORMATION**

Has any shareholder with more than 10% voting stock, sole owner, general partner, LLC member/manager, or corporate officer or director 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?:

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?:

**Step 3a**

---

**WATER QUALITY INFORMATION**

List any liquid waste that may be released into navigable waters such as rivers, canals, or lakes:

Provide beginning and ending dates for release:

Describe how you will monitor the quality and characteristics of the discharge:

**Step 3b**

---

**DSP EQUIPMENT**

Select type of Equipment	If other, give description	Serial Number	Capacity	Kind of Still	If other still, please describe	Intended Use
Tank		12345XXXXX	100			Tank - Storage

---

**DSP BOND**

Select Type of Bond	List all locations covered under this bond	Select Bond Kind	Effective Date of Bond (must be on or before date of TTB approval)	Operations Coverage	Withdrawal Coverage	Amount of Bond	Bond Category	Enter Surety Name	Enter Surety Bond Number	Enter T-Note/Bond - CUSIP Number	Enter T-Note/Bond - Interest Rate	Enter T-Note/Bond - Maturity Date	Enter T-Not - Issu
Alcohol Fuel Producer Bond		Original	10/05/2018	500		500	Cash						

---

**TRANSFER IN BOND**  
No entries for this section.

**ALTERNATION OF PREMISES**  
No entries for this section.

**ALTERNATION OF PROPRIETORS**  
No entries for this section.

**NON-CONTIGUOUS LOCATIONS**

Application for Distilled Spirit Plant---Review (Continued)

**Application Information**

**CONSENT OF SURETY**  
No entries for this section.

**Step 4a**

**REQUIRED DOCUMENT CHECKLIST**

Document Type	Comments	Method of Submission	Permit, Registry or Tracking Number if on file with TTB
Diagram		Uploaded	
Source of Funds Documentation		Uploaded	
Bond Form		Uploaded	
Lease Agreement or Proof of Property Ownership		Uploaded	

**Step 4b: 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
<a href="#">Generic File to Upload for Testing Purposes.docx</a>	Diagram	11.22 KB	10/05/2018	<a href="#">Actions</a> ▼
<a href="#">Generic File to Upload for Testing Purposes.docx</a>	Source of Funds Documentation	11.22 KB	10/05/2018	<a href="#">Actions</a> ▼
<a href="#">Generic File to Upload for Testing Purposes.docx</a>	Bond Form	11.22 KB	10/05/2018	<a href="#">Actions</a> ▼
<a href="#">Generic File to Upload for Testing Purposes.docx</a>	Lease Agreement or Proof of Property Ownership	11.22 KB	10/05/2018	<a href="#">Actions</a> ▼

**Declaration**

**DECLARE AND ACKNOWLEDGE**

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.: Yes

Declaration Date: 10/05/2018

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

## Privacy Act

https://www.ttbonline.gov/permitsonline/hv/pan.htm

TTB Alcohol and Tobacco Tax and Trade Bureau  
U.S. Department of the Treasury

### Permits Online

#### TTB Privacy Act Notice:

We provide this information to comply with Sections 3 and 7(b) 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., Section 4222; 26 U.S.C. 5171(b), 5173, 5271(b), 5272, 5354, 5356, 5401, 5401(a), 5502(b), 5511(3), 5711 and 5712; 27 U.S.C. 204(c). You must disclose this information to engage in any of the businesses regulated pursuant to the above described statutes.
- 2. What is the purpose for this information collection?**

You give this information to enable TTB to determine your eligibility, suitability, and/or qualifications to engage in a business regulated by TTB.
- 3. How does TTB routinely use this information?**

We use this information to make determinations for the purposes described in paragraph 2. Also, we may disclose the information to other Federal, State, foreign, and local law enforcement, or regulatory agency personnel to verify information in your application where such disclosure is not prohibited by law.

We may disclose the information to the Justice Department if it appears that the furnishing of false information may constitute a violation of Federal law.

Finally, we may disclose the information to members of the public to verify information in your application where such disclosure is not prohibited by law.
- 4. What happens if I do not supply the information TTB requests?**

If you do not supply complete information, we may be prevented from making an informed judgment as described above. If you fail to supply the necessary information it may cause us to delay, deny or disapprove your application.
- 5. How might TTB disclose my Employer Identification Number (EIN) or Social Security Number (SSN)?**

Pursuant to the statutes above, we are authorized to solicit this information. We use these numbers to identify an individual or business. Your disclosure of these numbers is voluntary. If you do not supply these numbers, your application may be delayed.

[Terms of Use](#) | [Privacy Act](#) | [Privacy Impact Assessment](#) | [Paperwork Reduction Act Notice](#) | Questions? 877-882-3277 or [submit an online inquiry](#)

10:59 AM  
10/4/2018

Privacy Impact Assessment

TTB Alcohol and Tobacco Tax and Trade Bureau  
U.S. Department of the Treasury

Who We Are What We Do TTB Audiences Resources

TTB Home > Freedom of Information Act > FOIA | PONL

## Permits Online (PONL)

### Privacy Impact Assessment

#### Information Collected and Purpose

Permits Online (PONL) is a secure Commercial Off-The-Shelf (COTS) product providing a web-based system with the capability to submit, route, and/or process original and amended permit/registration applications. The permit process enables TTB to authorize applicants to operate alcohol and tobacco related businesses under the FAA Act and Internal Revenue Code. This functionality is provided for external use by Regulated Industry Member representatives and internally by TTB's National Revenue Center (NRC). The online application and electronic submission of TTB's original permit application saves both the applicant and TTB significant time and money and also protects the public in support of homeland security.

#### Information Use and Sharing

PONL stores names, date of birth, social security numbers, photographic identification, driver's license information, mailing addresses, phone numbers, financial account information, legal documents, e-mail addresses, and foreign activity information for those individuals who have provided the aforementioned information on the PONL application. PONL provides applicants with a publicly facing website enabling them to view the information in the application and to check the status of the application while it is pending. Each application is specifically linked to the individual who submits it and only designated and approved TTB officials have direct access to personally identifiable information (PII) stored within PONL. With regard to the roles assigned within the application, all individuals receive access rights based on their status.

#### Information Consent

For an individual's PII to be stored in PONL, the individual must have willingly and intentionally filled out and submitted an application. The application is subject to the Privacy Act and a Privacy Act SORN that addresses all required categories of information has been published in the Federal Register.

#### Information Protection

TTB will take appropriate security measures to safeguard PII and other sensitive data stored on PONL. TTB will apply Department of the Treasury security standards, including but not limited to, routine scans and monitoring, back-up activities, and background security checks for all TTB employees and contractors. Accordingly, access to PONL PII will be limited to specific job function and access will be controlled based on least privilege.

The following access safeguards will also be implemented:

- Passwords expire after a set period;
- Accounts are locked after a set period of inactivity;
- Minimum length of passwords is eight characters;
- Passwords are combination of letters, numbers, and symbols; and
- Accounts are locked after a set number of incorrect attempts.

#### Related Information

- [Frequently Requested FOIA Documents](#)
- [Electronic Reading Room](#)
- [Privacy Impact Assessments](#)
- [Privacy Act Implementation – Final Rule](#)
- [2015 Privacy Act – System of Records Notice \(SORN\)](#)
- [FOIA Logs](#)
- [FOIA FAQs](#)

#### Additional Resources

- [Records Control Schedules](#)
- [Executive Order 13392](#)
- [FOIA Annual Report](#)
- [FOIA Chief Information Officer Reports](#)
- [FOIA Fee Schedule](#)
- [Treasury FOIA Regulations, 31 CFR Part 1, Subpart A \[HTML\] \[PDF\]](#)

#### How Do I?

- [Make a Perfected FOIA Request?](#)
- [Make a Perfected Privacy Act Request](#)

Privacy Impact Assessment (continued)

electronic submission of TTB's original permit application saves both the applicant and TTB significant time and money and also protects the public in support of homeland security.

**Information Use and Sharing**

PONL stores names, date of birth, social security numbers, photographic identification, driver's license information, mailing addresses, phone numbers, financial account information, legal documents, e-mail addresses, and foreign activity information for those individuals who have provided the aforementioned information on the PONL application. PONL provides applicants with a publicly facing website enabling them to view the information in the application and to check the status of the application while it is pending. Each application is specifically linked to the individual who submits it and only designated and approved TTB officials have direct access to personally identifiable information (PII) stored within PONL. With regard to the roles assigned within the application, all individuals receive access rights based on their status.

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For an individual's PII to be stored in PONL, the individual must have willingly and intentionally filled out and submitted an application. The application is subject to the Privacy Act and a Privacy Act SORN that addresses all required categories of information has been published in the Federal Register.

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TTB will take appropriate security measures to safeguard PII and other sensitive data stored on PONL. TTB will apply Department of the Treasury security standards, including but not limited to, routine scans and monitoring, back-up activities, and background security checks for all TTB employees and contractors. Accordingly, access to PONL PII will be limited to specific job function and access will be controlled based on least privilege.

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- Passwords are combination of letters, numbers, and symbols; and
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Page last reviewed: June 4, 2015  
Page last updated: October 16, 2015  
Maintained by: Regulations and Rulings Division

**Additional Resources**

- [2015 Privacy Act – System of Records Notice \(SORN\)](#)
- [FOIA Logs](#)
- [FOIA FAQs](#)

**How Do I?**

- [Make a Perfected FOIA Request?](#)
- [Make a Perfected Privacy Act Request](#)

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PRA Notice

https://www.ttbonline.gov/permitsonline/h/pran.htm

TTB Alcohol and Tobacco Tax and Trade Bureau U.S. Department of the Treasury

Permits Online

This request is in accordance with the Paperwork Reduction Act of 1995.

- **Power of Attorney Information (OMB No. 1513-0014):** This information collection is used by TTB to ensure that only duly authorized individuals are signing documents. The information is voluntary.
- **Personnel Questionnaire Information (OMB No. 1513-0002):** The information collection is used by TTB to determine if an applicant is eligible to receive an alcohol and tobacco permit. The information is mandatory (26 U.S.C. 5712, 27 U.S.C. 204).
- **Change In Bond/Consent of Surety (OMB No. 1513-0013) :** We use this information to determine whether a business may change its bond. We must identify changes to the business, the surety company, and the bond. The information we request is required for you to obtain a benefit and is mandatory by law (26 U.S.C. 5173, 5272, 5354, 5401, and 5711).
- **Environmental Information (OMB No. 1513-0023):** This information collection is used by TTB to determine if any environmental impact statement or environmental permit is necessary for the proposed operation. The information is required to obtain a benefit.
- **Water Quality Considerations Information (OMB No. 1513-0023):** This information collection is used by TTB to determine whether a certification from a State of multi-state authority is needed for discharge of effluent into navigable water of the U.S. This information is required to obtain a benefit.
- **Signing Authority Information (OMB No. 1513-0036):** This information collection is used by TTB to ensure that only duly authorized individuals are signing documents. This information is voluntary.
- **Basic Permit Information (OMB No. 1513-0018):** The information is used to determine eligibility of the applicant to engage in certain operations, to determine the 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 (27 U.S.C. 203 and 204 (c)).
- **Wine Premises Information (OMB No. 1513-0009):** The information is used by TTB to determine if the applicant is eligible to receive a wine premises permit. The information is required to obtain a permit.
- **Wine Bond Information (OMB No. 1513-0009):** The information is used by the proprietor, or the proprietor and surety company, as a contract to ensure tax payment. The information requested is required to obtain a benefit and is mandatory by statute (26 U.S.C. 5172)
- **Registration for Firearms and Ammunition Tax-Free Transactions (OMB No. 1513-0095):** This information collected is used to determine the eligibility of the applicant to sell or purchase firearms and ammunition tax-free. The information requested is required to obtain a benefit and is mandatory by statute (26 U.S.C. 4222).

The estimated average burden associated with the Owner/Officer application collection of information is 2 hours, for the Winery application collection of information is 7 hours and 45 minutes or for the Wholesaler/Importer application collection of information is 4 hours and 30 minutes, per respondent or record keeper, depending on individual circumstances. The estimated average burden associated with the Registration for Firearms and Ammunition Tax-Free Transactions collection of information is 3 hours per respondent depending upon 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, Washington, DC 20220.

11:00 AM 10/4/2018

PRA Notice (Continued)

The screenshot shows a web browser window with the address bar displaying <https://www.ttbonline.gov/permitsonline/hv/pra.htm>. The browser has several tabs open, including "TTB | Permits Online | Custom...", "TTB Online- Permits Online- ...", and "ttbonline.gov". The page content includes the following text:

- **Personnel Questionnaire Information (OMB No. 1513-0002):** The information collection is used by TTB to determine if an applicant is eligible to receive an alcohol and tobacco permit. The information is mandatory (26 U.S.C. 5712, 27 U.S.C. 204).
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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.

At the bottom of the page, there is a navigation bar with the following links: [Terms of Use](#) | [Privacy Act](#) | [Privacy Impact Assessment](#) | [Paperwork Reduction Act Notice](#) | Questions? 877-882-3277 or [submit an online inquiry](#).

The Windows taskbar at the bottom shows the time as 11:01 AM on 10/4/2018.