

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

REFERRAL OF INFORMATION

(See Instructions below)

U.I. NUMBER

PART I - REFERRAL

1. TO: *(title, agency, and address)*

2. DATE

The following information and attachment *(Check applicable box)* are sent to you as requested, are referred to you for consideration as potential criminal or civil violations coming under your jurisdiction.

COMPLETE FOR REFERRALS OR REQUESTS OUTSIDE TTB - DOES DOES NOT contain confidential returns or return information under 26 U.S.C. 6103.

COMPLETE IF APPLICABLE: This is a confirmation of a referral made by telephone in person on _____.

3. NAME(S) OF PRINCIPALS INVOLVED IN POSSIBLE VIOLATION

4. STATUTE(S) POSSIBLY VIOLATED

5. FEDERAL LICENSES AND/OR PERMITS HELD *(type and number)*

6. TTB OFFICER UNCOVERING POTENTIAL VIOLATION

7. POST OF DUTY

8. SUMMARY OF SIGNIFICANT FACTS AND/OR EXPLANATION OR DESCRIPTION OF ATTACHMENT *(Continue on a separate sheet, if necessary)*9. TTB OFFICIAL APPROVING REFERRAL *(Signature)*

10. DATE

11. TITLE AND ADDRESS

12. TELEPHONE NO.

PART II - RESPONSE *(See Instruction 4)* REQUESTED NOT REQUESTED

1. THE REFERRAL ABOVE IS ACCEPTED REJECTED *(Explain below)* OTHER *(Explain below)*

2. DATE

3. ACTION PLANNED OR TAKEN AND COMMENTS *(Continue on a separate sheet, if necessary)*

4. SIGNATURE

5. TITLE OF OFFICIAL

6. ADDRESS

7. TELEPHONE NO.

COMPLETE FOR REFERRALS WITHIN TTB: THIS RESPONSE IS INTERIM FINAL

INSTRUCTIONS

1. PURPOSE.

Use this form to internally refer potential violations of TTB administered statutes and to externally refer to the appropriate Federal, State, or local enforcement/regulatory agency potential violations of other statutes. Also, use this form to transmit information (including confirmation of oral transmittals) to, or to document inspections (on-site) by, another Federal, State, or local agency, that identifies, directly or indirectly, a licensee permittee, taxpayer, applicant, or any person (individual, partnership, corporation, etc.), connected with, or alleged to have committed, a possible violation of, or to have incurred a possible liability for tax or other imposition under, any Federal statute enforced by TTB.

2. PREPARATION

- a. The TTB officer uncovering the potential violation or, in the case of a transmittal of requested information, the appropriate individual must complete items 3 through 8 in Part I, as applicable.
- b. The approving TTB official must complete the remaining items in Part I. The approving official is the Director, National Revenue Center, except that referrals concerning firearms and explosives matters may be approved by the Supervisor, Firearms and Ammunition Excise Tax Group. Referrals of FAA Act trade practices violations to the Advertising, Labeling and Formulation Division and other Federal agencies will be approved by the Chief, Advertising, Labeling and Formulation Division. Referrals by the Tax Audit Division will be approved by the Chief, Tax Audit Division.

3. DISTRIBUTION

- a. Original, with any attachments, and the recipient's response copy to the appropriate TTB official or other agency. If the form is used to transmit requested information, do not include response copy.

- b. Copy for NRC or permittee file, when referring potential violations.
- c. Copy for the approving official's file, when referring potential violations.
- d. Make additional copies when necessary for:
 - (1) Advertising, Labeling and Formulation Division, Headquarters Operations, when referring FAA Act trade practices violations to State or local agencies.
 - (2) Advertising, Labeling and Formulation Division, Headquarters Operations, when referring to State agency returns or return information under 26 U.S.C. 6103.

4. RESPONSE

- a. **ACTION BY RECIPIENT TTB OFFICE.** Complete Part II and return to the originating office within 10 working days of receipt of a referral of potential violations. Submit an interim response if an investigation will continue past the 10-day period, and the final response upon completion of the investigation.
- b. **ACTION BY OTHER RECIPIENT AGENCY.** Please complete Part II when a referral of potential violations under your jurisdiction has been received and returned to the originating office.

PAPERWORK REDUCTION ACT NOTICE

This request is in accordance with the Paperwork Reduction Act of 1995. This information collection is used to determine the response of, and value to, other Federal and State government agencies and bodies of information supplied by TTB. The information is voluntary.

The estimated average burden associated with this collection of information is 1 hour per respondent or recordkeeper, depending on individual circumstances. Comments concerning the accuracy of this burden estimate and suggestions for reducing this burden should be addressed to the Reports Management Officer, Regulations and Rulings Division, Alcohol and Tobacco Tax and Trade Bureau, Washington, D.C. 20220.

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.