

DEPARTMENT OF THE TREASURY-ALCOHOL AND TOBACCO TAX AND TRADE BUREAU
AUTHORIZATION TO FURNISH FINANCIAL INFORMATION
AND
CERTIFICATE OF COMPLIANCE
(Right to Financial Privacy Act of 1978)

SECTION A: CUSTOMER AUTHORIZATION (12 U.S.C. 3404) TO BE COMPLETED BY CUSTOMER

I, _____ having read the explanation of my rights below on this form, hereby authorize the following financial institution to disclose the financial records specified below, and any and all information pertaining to those financial records to the Alcohol and Tobacco Tax and Trade Bureau.

NAME OF FINANCIAL INSTITUTION AND PERSON TO CONTACT (IF KNOWN)

STREET ADDRESS

CITY, STATE, AND ZIP CODE

CHECKING ACCOUNT NUMBER AND NAME ON THE ACCOUNT

SAVINGS ACCOUNT NUMBER AND NAME ON THE ACCOUNT

LOAN NUMBER AND NAME(S) APPEARING ON THE LOAN

OTHER (SPECIFY)

PURPOSE FOR WHICH DISCLOSURE IS NECESSARY

I understand that this authorization may be revoked by me in writing at any time before my records, as described above, are disclosed and that this authorization is valid for no more than three (3) months from the date of my signature.

SIGNATURE OF CUSTOMER

DATE

ADDRESS OF CUSTOMER

SECTION B: CERTIFICATE OF COMPLIANCE BY TTB OFFICIAL (12 U.S.C. 3403(b))

NAME OF FINANCIAL INSTITUTION OFFICIAL AND TITLE

DATE OF REQUEST

SIGNATURE OF TTB OFFICIAL

ADDRESS

NAME AND TITLE OF TTB OFFICIAL

TELEPHONE NUMBER (Including Area Code)

INSTRUCTIONS

If you have any questions about your rights under this law or about how to consent to the release of your financial records, you may contact the Alcohol and Tobacco Tax and Trade Bureau (TTB), Director, National Revenue Center, 550 Main St, Ste 8002, Cincinnati, OH 45202-5215.

1. Section A must be completed by the customer in triplicate and returned to TTB.
2. Section B must be completed by the TTB officer conducting the financial record check.
3. Distribution:
 - a. First copy (with Section B completed) to the financial institution.
 - b. Second copy (with Section B completed) filed with the report of audit/investigative report.
 - c. Third copy (without Section B completed) to the customer.

STATEMENT OF CUSTOMER RIGHTS UNDER THE RIGHT TO FINANCIAL PRIVACY ACT OF 1978

Federal law protects the privacy of your financial records. Before banks, savings and loan associations, credit unions, credit card issuers, or other financial institutions may give financial information about you to a Federal agency, certain procedures must be followed.

CONSENT TO FINANCIAL RECORDS

You may be asked to consent to make your financial records available to the Government. You may withhold your consent, and your consent is not required as a condition of doing business with any financial institution. If you give your consent, it can be revoked in writing at any time before your records are disclosed. Furthermore, any consent you give is effective for only three months, and your financial institution must keep a record of the instances in which it discloses your financial information.

WITHOUT YOUR CONSENT

Without your consent, a Federal agency that wants to see your financial records may do so ordinarily only by means of a lawful subpoena, summons, formal written request, or search warrant for that purpose.

Generally, the Federal agency must give you advance notice of its request for your records explaining why the information is being sought and telling you how to object in court. The Federal agency must also send you copies of court documents to be prepared by you with instructions for filling them out. While these procedures will be kept as simple as possible, you may want to consult with an attorney before making a challenge to a Federal agency's request.

EXCEPTIONS

In some circumstances, a Federal agency may obtain financial information about you without advance notice or your consent. In most of these cases, the Federal agency will be required to go to court to get permission to obtain your records without giving you notice before hand. In these instances, the court will make the Government show that its investigation and request for your records are proper.

When the reason for the delay of notice no longer exists, you will usually be notified that your records were obtained.

Generally, the Internal Revenue Service will continue to get records pursuant to its existing procedures authorized by the Internal Revenue Code rather than under the Right to Financial Privacy Act.

TRANSFER OF INFORMATION

Generally, a Federal agency which obtains your financial records is prohibited from transferring them to another Federal agency, unless it certifies in writing that the transfer is proper and sends a notice to you that your records have been sent to another agency.

PENALTIES

If a Federal agency or financial institution violates the Right to Financial Privacy Act, you may sue for damages or to seek compliance with the law. If you win, you may be repaid your attorney's fees and costs.

PAPERWORK REDUCTION ACT NOTICE

This request is in accordance with the Paperwork Reduction Act of 1995. This information collection is issued by TTB to determine if the applicant is eligible to receive an alcohol or a tobacco permit. The information is required to obtain a benefit.

The estimated average burden associated with this collection of information is 15 minutes 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, DC 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.