

**DEPARTMENT OF THE TREASURY  
ALCOHOL AND TOBACCO TAX AND TRADE BUREAU (TTB)  
APPLICATION FOR AMENDED BASIC PERMIT UNDER THE FEDERAL ALCOHOL ADMINISTRATION ACT**

*(See instructions after this page)*

|                      |                                   |                                   |
|----------------------|-----------------------------------|-----------------------------------|
| 1. NAME OF PERMITTEE | 2. PERMIT NUMBER(S) TO BE AMENDED | 3. EMPLOYER IDENTIFICATION NUMBER |
|----------------------|-----------------------------------|-----------------------------------|

**REASON FOR CHANGE**

|                                 |  |                             |                                |
|---------------------------------|--|-----------------------------|--------------------------------|
| <b>4. CHANGE NAME ON PERMIT</b> |  | <b>5. CHANGE OPERATIONS</b> | CHANGE OPERATIONS ON PERMIT TO |
|---------------------------------|--|-----------------------------|--------------------------------|

|                                |  |
|--------------------------------|--|
| 6.                             | ADD NEW TRADE NAME(S) <i>(State the purpose for which each trade name will be used. Use of trade name as a brand name on a label requires additional approval on TTB F 5100.31.)</i> |
| <b>CHANGE IN TRADE NAME(S)</b> | REMOVE TRADE NAME(S)   |

|                            |  |
|----------------------------|--|
| 7.                         | CHANGE PREMISES ADDRESS TO <i>(Number, street, route, city or town, State, and ZIP Code)</i>   |
| <b>CHANGE ADDRESS (ES)</b> | CHANGE MAILING ADDRESS TO <i>(Number, street, route, city or town, State, and ZIP Code OR P.O. Box, city or town, State, and ZIP Code)</i> |

|   |   |  |   |  |   |               |                   |  |   |  |                                    |   |  |   |               |   |  |  |  |   |  |  |
|---|---|--|---|--|---|---------------|-------------------|--|---|--|------------------------------------|---|--|---|---------------|---|--|--|--|---|--|--|
| 8.  | <b>REMOVE NAME</b>  |  |   |  |   |               |                   |  |   |  |                                    |   |  |   |               |   |  |  |  |   |  |  |
| <b>CHANGE IN OFFICER, DIRECTOR, STOCK-HOLDER OR INVESTOR (See instruction 1)</b>  | <b>ADD THE FOLLOWING INDIVIDUAL</b> <i>(Attach separate sheet if adding more than one person)</i>   |  |   |  |   |               |                   |  |   |  |                                    |   |  |   |               |   |  |  |  |   |  |  |
|   | <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:40%; padding: 5px;">a. FULL GIVEN NAME <i>(no initials)</i></td> <td style="width:30%; padding: 5px;">b. OTHER NAMES USED <i>(include maiden and married)</i></td> <td style="width:30%; padding: 5px;">c. <input type="checkbox"/> MALE <input type="checkbox"/> FEMALE</td> </tr> <tr> <td style="width:40%; padding: 5px;">d. SOCIAL SECURITY NUMBER OR EMPLOYER IDENTIFICATION NUMBER</td> <td style="width:20%; padding: 5px;">e. BIRTH DATE</td> <td style="width:40%; padding: 5px;">f. PLACE OF BIRTH</td> </tr> <tr> <td style="width:50%; padding: 5px;">g. ARE YOU A U.S. CITIZEN?<br/><input type="checkbox"/> YES <input type="checkbox"/> NO</td> <td colspan="2" style="padding: 5px;">h. NUMBER AND TYPE OF SHARES HELD if person holds more than 10 percent.</td> </tr> <tr> <td style="width:50%; padding: 5px;">i. TITLE WITH APPLICANT'S BUSINESS</td> <td colspan="2" style="padding: 5px;">j. INVESTMENT IN PERMITTEE'S BUSINESS if more than 10 percent of capital.</td> </tr> <tr> <td style="width:50%; padding: 5px;">k. RESIDENCES OR PRINCIPAL PLACES OF BUSINESS DURING THE PAST 5 YEARS</td> <td style="width:15%; padding: 5px;">(1) NEW<br/>\$</td> <td style="width:35%; padding: 5px;">(2) SOURCE OF FUNDS <i>(examples, savings, loan, gift).</i></td> </tr> <tr> <td colspan="3" style="padding: 5px;">l. HAS THIS PERSON EVER BEEN ARRESTED FOR, CHARGED WITH, OR CONVICTED OF, ANY CRIME UNDER FEDERAL, STATE, OR FOREIGN LAWS <i>other than misdemeanor traffic violations or convictions that are not felonies under Federal or State law?</i><br/><input type="checkbox"/> YES State details of each event on a separate sheet. <input type="checkbox"/> NO</td> </tr> <tr> <td colspan="3" style="padding: 5px;">m. HAS THIS PERSON EVER BEEN DENIED A PERMIT, LICENSE OR OTHER AUTHORIZATION TO ENGAGE IN ANY BUSINESS TO MANUFACTURE, DISTRIBUTE, IMPORT, SELL, OR USE ALCOHOL PRODUCTS <i>(beverage or nonbeverage)</i> BY ANY GOVERNMENT <i>(Federal, State, local, or foreign)</i> AGENCY OR HAD SUCH PERMIT, LICENSE, OR OTHER AUTHORIZATION REVOKED, SUSPENDED OR OTHERWISE TERMINATED?<br/><input type="checkbox"/> YES <i>(State the details on a separate sheet.)</i> <input type="checkbox"/> NO</td> </tr> </table> | a. FULL GIVEN NAME <i>(no initials)</i>                          | b. OTHER NAMES USED <i>(include maiden and married)</i> | c. <input type="checkbox"/> MALE <input type="checkbox"/> FEMALE | d. SOCIAL SECURITY NUMBER OR EMPLOYER IDENTIFICATION NUMBER | e. BIRTH DATE | f. PLACE OF BIRTH | g. ARE YOU A U.S. CITIZEN?<br><input type="checkbox"/> YES <input type="checkbox"/> NO | h. NUMBER AND TYPE OF SHARES HELD if person holds more than 10 percent. |  | i. TITLE WITH APPLICANT'S BUSINESS | j. INVESTMENT IN PERMITTEE'S BUSINESS if more than 10 percent of capital. |  | k. RESIDENCES OR PRINCIPAL PLACES OF BUSINESS DURING THE PAST 5 YEARS | (1) NEW<br>\$ | (2) SOURCE OF FUNDS <i>(examples, savings, loan, gift).</i> | l. HAS THIS PERSON EVER BEEN ARRESTED FOR, CHARGED WITH, OR CONVICTED OF, ANY CRIME UNDER FEDERAL, STATE, OR FOREIGN LAWS <i>other than misdemeanor traffic violations or convictions that are not felonies under Federal or State law?</i><br><input type="checkbox"/> YES State details of each event on a separate sheet. <input type="checkbox"/> NO |  |  | m. HAS THIS PERSON EVER BEEN DENIED A PERMIT, LICENSE OR OTHER AUTHORIZATION TO ENGAGE IN ANY BUSINESS TO MANUFACTURE, DISTRIBUTE, IMPORT, SELL, OR USE ALCOHOL PRODUCTS <i>(beverage or nonbeverage)</i> BY ANY GOVERNMENT <i>(Federal, State, local, or foreign)</i> AGENCY OR HAD SUCH PERMIT, LICENSE, OR OTHER AUTHORIZATION REVOKED, SUSPENDED OR OTHERWISE TERMINATED?<br><input type="checkbox"/> YES <i>(State the details on a separate sheet.)</i> <input type="checkbox"/> NO |  |  |
| a. FULL GIVEN NAME <i>(no initials)</i>   | b. OTHER NAMES USED <i>(include maiden and married)</i>   | c. <input type="checkbox"/> MALE <input type="checkbox"/> FEMALE |   |  |   |               |                   |  |   |  |                                    |   |  |   |               |   |  |  |  |   |  |  |
| d. SOCIAL SECURITY NUMBER OR EMPLOYER IDENTIFICATION NUMBER   | e. BIRTH DATE   | f. PLACE OF BIRTH  |   |  |   |               |                   |  |   |  |                                    |   |  |   |               |   |  |  |  |   |  |  |
| g. ARE YOU A U.S. CITIZEN?<br><input type="checkbox"/> YES <input type="checkbox"/> NO  | h. NUMBER AND TYPE OF SHARES HELD if person holds more than 10 percent.   |  |   |  |   |               |                   |  |   |  |                                    |   |  |   |               |   |  |  |  |   |  |  |
| i. TITLE WITH APPLICANT'S BUSINESS  | j. INVESTMENT IN PERMITTEE'S BUSINESS if more than 10 percent of capital.   |  |   |  |   |               |                   |  |   |  |                                    |   |  |   |               |   |  |  |  |   |  |  |
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9. ADDITIONAL INFORMATION. TTB may require additional evidence necessary to verify this application.

10. PERMITTEE'S AFFIRMATION Under penalties 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 business for which this permit is granted does not violate the law of the State in which business will be conducted.

|  |           |                   |          |
|--|-----------|-------------------|----------|
| 11. SIGNATURE OF AUTHORIZED INDIVIDUAL | 12. TITLE | 13. TELEPHONE NO. | 14. DATE |
|--|-----------|-------------------|----------|

15. E-MAIL (INTERNET) ADDRESS *(optional)*:

**FOR TTB USE ONLY**

|   |          |
|---|----------|
| 16. SIGNATURE AND TITLE OF TTB OFFICIAL | 17. DATE |
|---|----------|

## INSTRUCTIONS

- GENERAL.** File this application if you want to amend your permit under the Federal Alcohol Administration Act (FAA Act) or to notify the Alcohol and Tobacco Tax and Trade Bureau (TTB) of a change in the ownership, management, or control. In the case of a corporation, report any change in the officers, directors, or persons (*individual or business*) who own or control more than 10 percent of the voting stock. When a change results in an actual or legal change in control or a new person acquires a permittee's business, file an application for a new permit (TTB F 5100.24). Neither the filing of this application nor its approval allows a business to violate State or local laws, such as registration of trade names and licensing requirements.
- FILING.** Complete all applicable items. Attach your permit to this application if you are requesting any amendments identified in items 4 through 7. If you need additional room, use a separate sheet. Put your name, permit number(s), date of application, and the item number(s) on each separate sheet. File two copies of this form and any attachments with the appropriate TTB office listed below. Also, contact this office if you have questions.

| <u>Location of Business on permit</u> | <u>Send to:</u><br>TTB   | <u>Telephone Number</u> |
|---------------------------------------|--|-------------------------|
| PR                                    | Director, Puerto Rico Operations<br>Ste 310 Torre Chardon<br>350 Carlos Chardon Ave<br>San Juan, PR 00918-2124 | 787-766-5584            |
| ALL OTHER STATES                      | TTB, National Revenue Center<br>550 Main Street, Suite 8002<br>Cincinnati, OH 45202                            | 1-877-882-3277          |
- INFORMATION ON FILE.** You may reference information if you filed it with a valid TTB permit or an application that is pending with TTB. Reference the appropriate item(s) of this application. Include the name of the applicant or the permittee, and the TTB permit number or the type and date of the application.
- OPERATIONS WITHOUT AN AMENDED PERMIT.** In general, criminal and administrative actions may be taken against persons operating without a valid FAA Act permit. Before you conduct any operations with any change specified in items 4 through 7, you must apply for, and receive, an approved permit. Immediately notify TTB of any changes in the ownership or management in a permittee's business.
- ITEM 5 - '5 @ C < C @ 895 @ F '9; -GHF5 HCB'.** If you move or change the location of your business complete TTB F 5630.5d, Alcohol Dealer Registration within 30 days of the change. You do not need a TTB F 5630.5d when your business only involves the importation or sale of fermented cereal beverages which have an alcoholic content of less than 1/2 percent or where your business is only in Puerto Rico.
- ITEM 11 AND 12 - SIGNING THE APPLICATION.** If the permittee is an individual, the individual must sign. If the permittee is a corporation, the president, vice-president, or other principal officer must sign. If the permittee is a partnership or other unincorporated organization, a responsible and authorized member or officer having knowledge of its affairs must sign. If the permittee is a trust or estate, the fiduciary must sign. If an agent of the permittee signs, file an acceptable power of attorney (*for example TTB F 5000.8*) with the appropriate TTB office.
- APPROVAL.** If you complete any of items 4 through 7 and attach your permit, TTB will send the amended FAA Act permit to you. If you complete item 8, TTB will return a copy of this application for your files.

## PRIVACY ACT INFORMATION

The following information is provided pursuant to Sections 3 and 7(b) of the Privacy Act of 1974:

- AUTHORITY.** Solicitation of information on TTB F 5100.18 is made pursuant to 27 U.S.C. 204(c). Disclosure of this information by the applicant is mandatory if the applicant wishes to obtain an amended basic permit under the FAA Act.
- PURPOSES.** To identify the permittee; the location of the premises; and to determine the eligibility of the permittee to obtain an amended basic permit.
- ROUTINE USES.** The information will be used by TTB to make determinations set forth in paragraph 2 above where such disclosure is not prohibited. TTB officers may disclose this information to other Federal, State, foreign, and local law enforcement and regulatory agency personnel to verify information on the application and for enforcement of the laws of such other agency. The information may be disclosed to the Justice Department if the application appears to be false or misleading. TTB officers may disclose the information to individuals to verify information on the application where such disclosure is not prohibited.
- EFFECTS OF NOT SUPPLYING INFORMATION REQUESTED.** TTB may delay or deny the issuance of the FAA Act basic permit where information is missing or not complete.
- DISCLOSURE OF EMPLOYER IDENTIFICATION NUMBER AND SOCIAL SECURITY NUMBER.** You do not have to supply these numbers. These numbers are used to identify an individual or business. If you do not supply these numbers, your application may be delayed.

## PAPERWORK REDUCTION ACT NOTICE

This request is in accordance with the Paperwork Reduction Act of 1995. The information collection is used to determine the eligibility of the applicant to engage in certain operations, to determine the location and extent of operations, and to determine whether the operations will conform to Federal laws and regulations. This information is required to obtain a benefit and is mandatory by statute (27 U.S.C. 203 and 204(c)).

The estimated average burden associated with this information collection is 30 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, 1310 G Street, NW., Box 12, Washington, DC 20005.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a current, valid OMB control number.