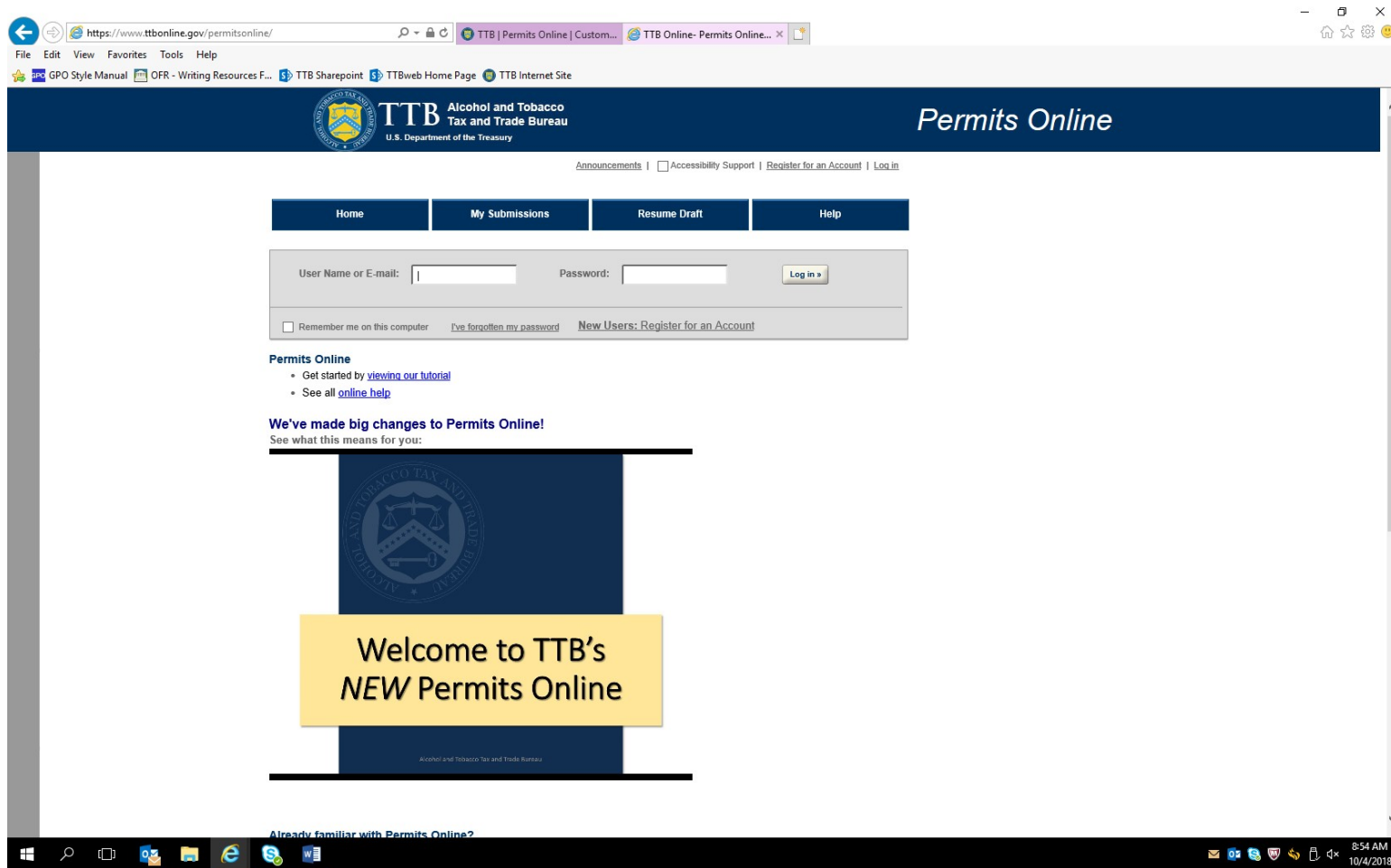


**Permits Online (PONL), New Alcohol Wholesaler or Importer Application — for OMB Control No. 1513-0018, Application for Basic Permit under the Federal Alcohol Administration Act).**

This PONL application is equivalent to TTB F 5100.24, Application for Basic Permit under the Federal Alcohol Administration Act, for new alcohol beverage (distilled spirits, wine, malt beverages) Wholesaler or Importer permit applications made on that form.

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 page header features the TTB logo (Alcohol and Tobacco Tax and Trade Bureau, U.S. Department of the Treasury) and the text "Permits Online". Below the header, there is a navigation bar with links for "Home", "My Submissions", "Resume Draft", and "Help". The main content area displays a welcome message for "Michael Hoover" and a section titled "What do you want to do today?" with four main actions: "Apply for new permits, registrations or notices", "Amend approved permits, registrations or notices", "Fill out a Personnel Questionnaire (PQ)", and "Link additional records to my account". A yellow box on the right side of the main content area contains "Helpful resources" with links for "What's new", "Permits Online tutorial", and "Application processing times". At the bottom of the page, there is a footer with links for "Terms of Use", "Privacy Act", "Privacy Impact Assessment", "Paperwork Reduction Act Notice", and "Questions? 877-882-3277 or submit an online inquiry". The Windows taskbar at the bottom shows the time as 8:57 AM on 10/4/2018.

https://www.ttbonline.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** |  Accessibility Support | [My Record Collections \(0\)](#) | [Account Management](#) | [Log out](#)

Home My Submissions Resume Draft Help

**Welcome Michael Hoover**  
You are now logged in.

**What do you want to do today?**

**[Apply for new permits, registrations or notices](#)** ▶  
Build a package of the applications you'll need in order to get your approvals. Here's [what you'll need to gather](#) before starting.

**[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.

**Helpful resources:**

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

[See more online help](#) ▶



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

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 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".

The page header features the TTB Alcohol and Tobacco Tax and Trade Bureau logo and the text "Permits Online". Below the header, there are navigation links: "Announcements", "Logged in as: Michael Hoover", "My Record Collections (0)", "Reports (15)", "Account Management", and "Log out".

The main content area has a navigation bar with "Home", "My Submissions", "Resume Draft", and "Help". Below this is the "Rules and Responsibilities" section, which includes a text box with 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 text box is a checkbox labeled "I have read and I accept the above rules and responsibilities." and a "Continue »" button.

At the bottom of the page, there is a footer with the TTB logo and 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 date and time as 8:58 AM on 10/4/2018, along with various system icons and application icons.

Permits Online Screen Shots — New Alcohol Importer or Wholesaler FAA Act Basic Permit Applications (OMB Control No. 1513-0018) (10-2018)

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

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". Below the header, there are navigation links for "Home", "My Submissions", "Resume Draft", and "Help". The main content area is titled "New Applications Wizard" and shows a progress bar with four steps: 1. Determine applications (active), 2. Review, 3. Application package, and 4. Submission confirmation. The current step is "Step 1: Determine applications >>". The text explains that the wizard will help identify, fill out, and submit a package of applications. A note indicates that an asterisk (\*) indicates a required field. The "Application Contact" section is highlighted in grey and contains the following information: Michael D. Hoover, Michael.Hoover@ttb.gov, 202-453-2135, and 1310 G Street, NW., Box 12, Washington, DC, 20005. The "Premises Address" section is also highlighted in grey and contains a text input field with the placeholder "Do not re-enter your Street Address". Below this, there are several dropdown menus for "Street #", "Fraction", "Direction", "Street Name", "Street Type", "Street Suffix", "Unit Type", and "Unit Number". At the bottom of the page, there are two more text input fields for "Rural Address Line 1" and "Rural Address Line 2", both with the placeholder "Do not re-enter your Street Address". The Windows taskbar is visible at the bottom of the screen, showing the time as 9:00 AM on 10/4/2018.

New Application Wizard screen continued – Alcohol Wholesaler selected, with business organized as an LLC (selecting “Alcohol Importer” does not change the data collected):

The screenshot shows a web browser window with the URL <https://www.ttbonline.gov/permitsonline/>. The browser's address bar shows the page title "TTB | Permits Online | Custom...". The browser's menu bar includes "File", "Edit", "View", "Favorites", "Tools", and "Help". The browser's toolbar shows several icons, including a home button, a star, and a smiley face. The browser's address bar also shows several tabs, including "TTB Sharepoint", "TTBweb Home Page", and "TTB Internet Site".

The main content area of the browser displays the "COMMODITY SELECTION" section. The text reads: "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." Below this text is a dropdown menu labeled "\*Which commodity type do you need to apply for?:" with "Alcohol" selected. Below the dropdown menu is a red heading: "From the list below, select all that apply for this premises location:". Below this heading are four checkboxes: "Wholesaler / importer:" (checked), "Brewery:" (unchecked), "Spirits (distillery / industrial use):" (unchecked), and "Wine (producer / cellar / bottler):" (unchecked).

Below the checkboxes is a section titled "Select Application(s)". Below this section is the "APPLICATION TYPES" section. The text reads: "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." Below this text is a link: "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." Below this link are two checkboxes: "Wholesaler / Exporter (Alcohol):" (checked) and "Importer (Alcohol):" (unchecked).

Below the checkboxes is a section titled "Business Entity". Below this section is the "ENTITY INFORMATION" section. The text reads: "Tell us about the business and the people that will be involved in this operation."

The Windows taskbar is visible at the bottom of the screen, showing the Start button, a search icon, and several application icons. The system tray shows the time "1:23 PM" and the date "10/5/2018".

New Application Wizard screen continued:

**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:

\* 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? :

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

**Make Sure Your Answers are Correct**

**CONFIRM**

After confirming the information, the respondent is presented with review screens:

The screenshot shows a web browser window displaying the TTB Permits Online application review screen. The browser address bar shows the URL <https://www.ttbonline.gov/permitonline/>. 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 main content area features a navigation bar with "Home", "My Submissions", "Resume Draft", and "Help". Below this is the "New Applications Wizard" progress indicator, showing four steps: 1 Determine applications, 2 Review (current step), 3 Application package, and 4 Submission confirmation. The "Step 2: Review" section includes a "Continue »" button and a "Save and resume later:" option. The text states: "This is a summary of the information you provided to us." Below this is a section titled "Editing Your Answers" with the instruction: "Please review your answers below." A note follows: "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](#)." The "New Applications Wizard" section is partially visible, showing "Application Contact" information for Michael D. Hoover, including his address (1310 G Street, NW., Box 12, Washington, DC, 20005), primary phone number (202-453-2135), and email address (Michael.Hoover@ttb.gov). The Windows taskbar at the bottom shows the time as 1:25 PM on 10/5/2018.



Review screen continued:

The screenshot shows a web browser window with the URL <https://www.ttbonline.gov/permitsonline/>. The browser's address bar and menu bar are visible. The page content includes the following sections:

- Premises Address**
  - 1 X Street
  - Washington DC 22153
- COMMODITY SELECTION**

Which commodity type do you need to apply for?:

Wholesaler / importer:	Yes
Brewery:	No
Spirits (distillery / industrial use):	No
Wine (producer / cellar / bottler):	No
- Select Application(s)**

APPLICATION TYPES

Wholesaler / Exporter (Alcohol):	Yes
Importer (Alcohol):	No
- Business Entity**

ENTITY INFORMATION

Business structure:	Limited Liability Company
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 Wholesale, LLC

As part of this process, we need some personal background information about: NO PQs will be submitted separately; I will fill them all out in this package.

Review screens continued:

The screenshot shows a web browser window with the URL <https://www.ttbonline.gov/permitsonline/>. The page title is "TTB Online- Permits Online...". The browser's address bar shows the URL and navigation icons. The page content includes a form for "Business Entity" information. The form is titled "Business Entity" and contains the following fields and values:

- Importer (Alcohol):** No
- Business structure:** Limited Liability Company
- 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 Wholesale, LLC
- 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

Below the form, there is a section titled "Make Sure Your Answers are Correct" and a "CONFIRM" section. The "CONFIRM" section contains the text: "I have reviewed my answer choices and confirm that they accurately reflect my proposed operation(s) at this premises:" with the value "Yes".

At the bottom of the form, there is a "Continue »" button and a "Save and resume later:" button with a document icon.

The Windows taskbar at the bottom shows the Start button, search icon, task view icon, and several application icons including Outlook, File Explorer, Edge, Skype, and Word. The system tray on the right shows the date and time: 1:27 PM, 10/5/2018.

Permits Online Screen Shots — New Alcohol Importer or Wholesaler FAA Act Basic Permit Applications (OMB Control No. 1513-0018) (10-2018)

This screen shows the applications the respondent has to complete (Personnel Questionnaire approved under 1513-0002 and Application for Original Entity approved under several OMB control numbers, and these screens are not shown).

The screenshot shows a web browser window displaying the TTB Permits Online application wizard. 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 main navigation menu includes Home, My Submissions, Resume Draft, and Help. The "New Applications Wizard" progress bar shows five steps: 1 Determine applications, 2 Review, 3 Application package (current step), 4 Pay cash bond if applicable, and 5 Submission confirmation. The "Step 3: Application package" section contains the following text: "Based on the information you have provided, your application package consists of the application(s) shown below. Select 'Start' to begin each application. Once all applications are in 'Ready to submit (edit)' status, you may select the 'Submit application package' button. After submitting the application package, you will no longer be able to change any of the information." Below this text, there are three application entries: "Application for Alcohol Wholesaler and/or Exporter" with a "Start" button, "Application for Original Entity" with a "Start" button, and "Personnel Questionnaire" with a "Start" button. At the bottom of the wizard, there is a "Submit Application Package" button and a "Save and resume later:" button.

Clicking on “Alcohol Wholesaler and/or Export leads to this screen:

The screenshot shows a web browser window with the URL <https://www.ttbonline.gov/permitsonline/>. The page title is "Application for Alcohol Wholesaler and/or Exporter". A progress bar at the top indicates six steps: 1. Mailing Address (active), 2. Operation description, 3. Upload required documents, 4. Declare & acknowledge, 5. Review, and 6. A link to "Step 1: Mailing Address >>" is provided. A note states "\* indicates a required field".

**Application Contact**

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.

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

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

**Entity Information**

**ENTITY INFORMATION**  
This is the business information you provided earlier in the application process.

Business name:

Employer Identification Number (EIN):

**PERMIT INFORMATION**

Permit Number:

The Windows taskbar at the bottom shows the time as 1:37 PM on 10/5/2018.

Screen continued:

The screenshot shows a web browser window with the URL <https://www.ttbonline.gov/permitsonline/>. The page title is "TTB Online- Permits Online...". The browser's address bar shows the URL, and the page content includes a navigation menu with links to "GPO Style Manual", "OFR - Writing Resources F...", "TTB Sharepoint", "TTBweb Home Page", and "TTB Internet Site".

The main content area is titled "PERMIT INFORMATION" and contains a "Permit Number:" field. Below this is a section titled "Premises Address" with a sub-header "Premises Address". A note states: "This section pertains to the physical location where your approved operations will take place."

The form fields for the Premises Address are:

- Street #: 1
- Fraction: (empty)
- Direction: --Select--
- \* Street Name: X Street
- Street Type: --Select--
- Street Suffix: --Select--
- Unit Type: --Select--
- Unit Number: (empty)
- Rural Address Line 1: Do not re-enter your Street Address
- Rural Address Line 2: Do not re-enter your Street Address
- \* City: Washington
- \* State: DC
- \* ZIP Code: 22153
- County: (empty)

Below the Premises Address section is a section titled "Mailing Address" with a sub-header "Mailing Address". A note states: "Please provide the address where mail regarding this operation should be sent."

The Windows taskbar at the bottom shows the time as 1:38 PM on 10/5/2018. The taskbar includes icons for Windows, Search, File Explorer, Microsoft Edge, Skype, and Word.

Screen continued:

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

--Select-- Number

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

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

\* City \* State \* ZIP Code County  
Washington DC 22153


**Mailing Address**

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

Auto Fill New

Continue » « Back to Application Package

Save and resume later: [icon]



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1:38 PM 10/5/2018

Business Name and other business information:

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

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

**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 Alcohol Wholesaler and/or Exporter

1 Mailing Address 2 Operation description 3 Upload required documents 4 Declare & acknowledge 5 Review 6

Step 2: Operation description >>

\* indicates a required field

**Step 2a**

**DBA/OPERATING NAME**

Doing Business As / Operating Name:

By checking this box I certify that the Doing Business As / Operating Name listed above has been registered with my county or state, if applicable:

**REASON FOR THE APPLICATION**

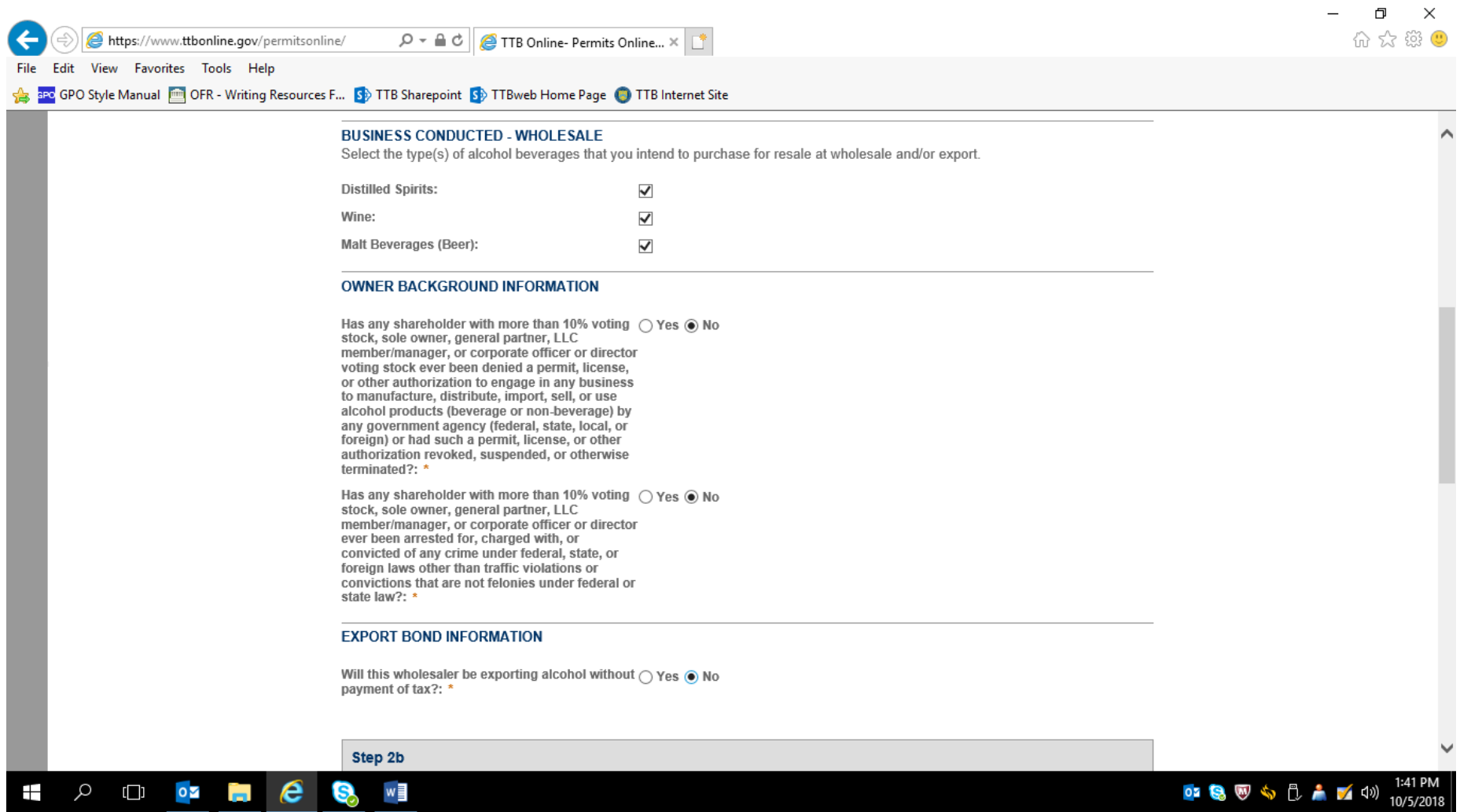
New wholesaler / exporter: \*

**BUSINESS CONDUCTED - WHOLESALE**

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

1:41 PM 10/5/2018

Screen continued:



(Bond information approved under 1513-0135 and other control numbers and PONL bond information not shown here).



Supporting document upload screen:

The screenshot shows a web browser window with the URL <https://www.ttbonline.gov/permitsonline/>. The page title is "Application for Alcohol Wholesaler and/or Exporter". A progress bar at the top indicates the current step: 1 Mailing Address, 2 Operation description, 3 Upload required documents (highlighted), 4 Declare & acknowledge, 5 Review, and 6. Below the progress bar, the text reads "Step 3: Upload required documents >>". A note states "\* indicates a required field".

**Step 3a**

**REQUIRED DOCUMENT CHECKLIST**

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

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

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

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

Showing 0-0 of 0

Document Type	Comments	Method of Submission	Permit, Registry or Tracking Number if on file with TTB
No records found.			

[Edit Selected](#)

**Step 3b: Upload Required Documents**

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

The Windows taskbar at the bottom shows the time as 1:45 PM on 10/5/2018.

Declare and Acknowledge screen:

The screenshot shows a web browser window with the URL <https://www.ttbonline.gov/permitsonline/>. The page title is "TTB Online- Permits Online...". The browser's address bar shows the current page is "Forms/Publications/Templates". The page content includes a navigation menu with "Home", "My Submissions", "Resume Draft", and "Help". Below this is a progress bar for "Application for Alcohol Wholesaler and/or Exporter" with six steps: 1, 2 Operation description, 3 Upload required documents, 4 Declare & acknowledge (highlighted), 5 Review, and 6 Application package. The main heading is "Step 4: Declare & acknowledge >>". A note indicates that an asterisk (\*) denotes a required field. The "Declaration" section contains the text: "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." Below this is a checkbox for the declaration statement, which is currently unchecked. A "Declaration Date:" label is followed by a date input field with a calendar icon. At the bottom, there are buttons for "Continue »", "« Back to Application Package", and "Save and resume later:" with a save icon. The Windows taskbar at the bottom shows the time as 1:46 PM on 10/5/2018.

PONL user notification screens:

### Terms of Use

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

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

### Permits Online

#### TTB Permits Online: Terms of Use

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 of the Treasury 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 these terms of use and are consenting to such monitoring, recording, and information retrieval for law enforcement and other purposes.

**Each user must have an individual user name and password.** Sharing your Permits Online user name or password is strictly prohibited and in violation of the Federal Information Security Management Act (FISMA) (Public Law 107-347) and can result in the cancellation of your Permits Online privileges.

The person who submits a request for a user registration is responsible for any Permits Online activity associated with his or her user name and password.

Multiple people can have access to applications, permits, registrations, and notices in Permits Online. If someone other than the person who submitted the application requires access, that person must register for his/her own Permits Online account, then submit a "Request Access" application. Note that a Signing Authority or Power of Attorney form **must already be on file** with TTB before submitting the access request application.

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10:59 AM 10/4/2018

## Privacy Act

**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.

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10:59 AM  
10/4/2018

Privacy Impact Assessment

<https://www.ttb.gov/foia/ponl.shtml>

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)

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**Additional Resources**

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**How Do I?**

- Make a Perfected FOIA Request?
- Make a Perfected Privacy Act Request

Paperwork Reduction Act Notice:

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

PRA Notice (Continued)

The screenshot shows a web browser window with the address bar displaying <https://www.ttbonline.gov/permitsonline/hv/pran.htm>. The browser tabs include "TTB | Permits Online | Custom...", "TTB Online- Permits Online- ...", and "ttbonline.gov". The page content includes several sections of information:

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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.