

July 30, 2018



TTB G: 2018-3

TTB Public Guidance

Permits Online: Personnel Questionnaires

Subjects covered in this guidance:

People and Positions that must be covered by a Personnel Questionnaire

Who may complete and/or submit the Personnel Questionnaire?

OOIs and Personnel Questionnaires already on file with TTB

Options for submitting Personnel Questionnaires

Step-by-Step: Completing a Personnel Questionnaire

People and Positions that must be covered by a Personnel Questionnaire

The Personnel Questionnaire, or PQ, (formerly called Owner Officer Information Application, or OOI) is how TTB gathers background information about owners, officers, and others associated with TTB-regulated businesses. We use the PQ to determine the eligibility, suitability, and/or qualifications of an applicant.

We require completed Personnel Questionnaires for the following people:

TTB G 2018-3 is posted on the TTB website at <https://www.ttb.gov/ponl-help/personnel-questionnaires.shtml>.

People and Positions that must be covered by a Personnel Questionnaire	
If the applicant is:	We require completed PQs for the following people:
A sole proprietorship	<ul style="list-style-type: none"> The owner
A partnership	<ul style="list-style-type: none"> Each partner
A limited liability company (LLC)	<ul style="list-style-type: none"> Each member, manager, and/or managing member Each interest-holder with 10% or more ownership Each trustee of a trust that holds ownership of the LLC
A corporation	<ul style="list-style-type: none"> Each officer Each director Each shareholder holding 10% or more of the shares Each trustee of a trust that holds ownership of the corporation

There are exceptions to the PQ requirements. **We do not need PQs for any person in conjunction with the following types of applications:**

- Specially Denatured Spirits - Dealer
- Specially Denatured Spirits - User
- Tax-Free Alcohol User
- U.S. Government Specially Denatured Spirits
- U.S. Government Tax Free Alcohol

Note: We may request a PQ on a case-by-case basis from anyone associated with an application for a TTB-regulated business.

[Back to Top](#)

Who may complete and/or submit the Personnel Questionnaire?

Personnel Questionnaires (PQs) may be completed and submitted either by the person named on the PQ, or by someone else on that person's behalf. For example, if the applicant has hired a consultant to prepare and submit an application package, that consultant can prepare/submit some, all, or none of the required PQs. PQs ask for detailed personal information (see Instructions for completing a [Personnel Questionnaire](#), so some people may prefer to submit the PQ directly to TTB themselves. Regardless of who submits the PQ, the person named on the PQ is responsible for the accuracy of information submitted to TTB.

[Back to Top](#)

OOIs and Personnel Questionnaires already on file with TTB

If you, or someone on your behalf, previously submitted a Personnel Questionnaire (PQ) or Owner Officer Information Application (OOI) in conjunction with another application, and TTB has that PQ/OOI on file, you are not required to submit another one when a new application or amendment application is filed. This is true even if the version on file is an older version of the PQ.

The exception is if the person's name or criminal history has changed since the PQ/OOI was originally filed. In that case, TTB requires a new PQ. For example, if TTB already has a PQ/OOI on file for Jane Smith, president of a corporation that holds a brewer's notice, we do not need a new PQ for Jane Smith if that corporation files a new application to open a second brewery. However, if Jane Smith has changed her name to Jane Doe, then we do require a new PQ.

[Back to Top](#)

Options for submitting Personnel Questionnaires

Personnel Questionnaires (PQs) can either be submitted together with a new or amended permit/registration/notice application package, or they can be submitted to TTB separately from an application package.

Note: *If some or all of the PQs will be submitted separately from the application package, we strongly recommend that those PQs be prepared and submitted BEFORE the associated application package is begun because the person submitting the application package will need the PQ tracking numbers for any PQs submitted separately.*

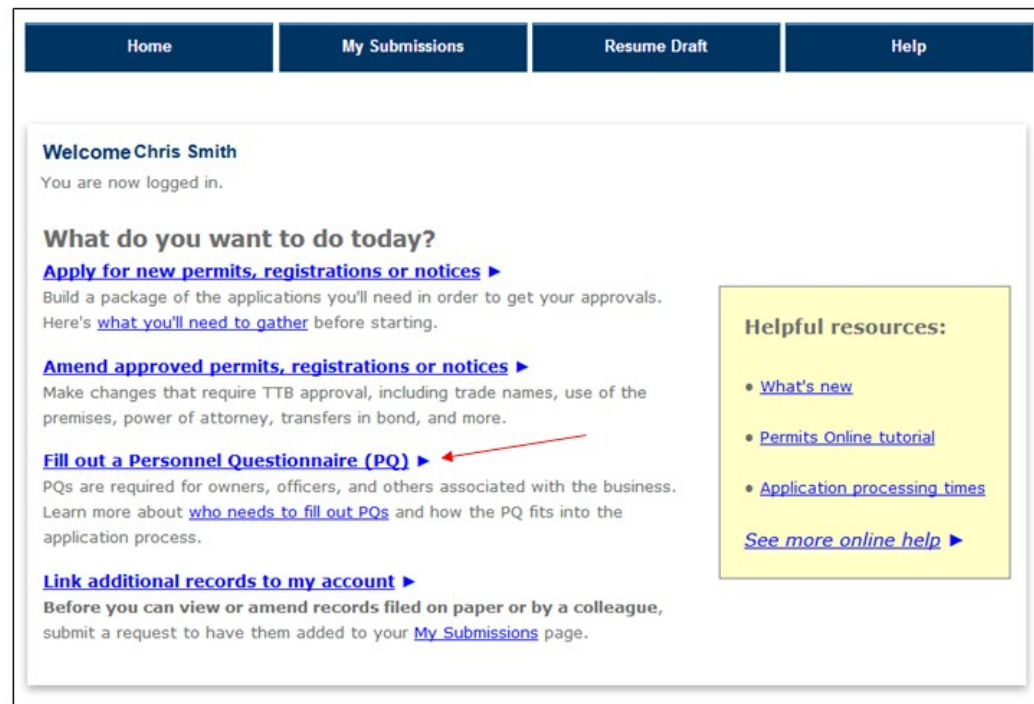
[Back to Top](#)

PQs submitted to TTB separately from an application package

Use this option when the person named on the Personnel Questionnaire (PQ) wants to submit it themselves, rather than having the person who will be submitting the application package complete the PQ on their behalf.

In order to submit a PQ via Permits Online, the submitter must have a Permits Online account. Registering for an account can be done from the [Permits Online log in page](#).

Once logged in, the submitter should select "Fill out a Personnel Questionnaire (PQ)" from the home page.



For step-by-step instructions on how to complete the PQ see Instructions for completing a [Personnel Questionnaire](#)

[Back to Top](#)

PQs submitted together with a new or amended application package

Use this option when the person submitting a new or amended application package will be completing some or all of the PQs as part of the

application package.

After logging in, select "Apply for New Permits, Registrations or Notices" or "Amend Approved Permits, Registrations or Notices" as applicable, on the home page to start the application wizard.

The screenshot shows a user dashboard with a dark blue navigation bar at the top containing four tabs: "Home", "My Submissions", "Resume Draft", and "Help". Below the navigation bar, the main content area is white and contains the following elements:

- A welcome message: "Welcome Chris Smith" followed by "You are now logged in."
- A section titled "What do you want to do today?" with four main options, each with a blue arrow pointing right:
 - 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." Two red arrows point to this link.
 - 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." A red arrow points to this link.
 - 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."
- A yellow box on the right titled "Helpful resources:" containing three bullet points:
 - [What's new](#)
 - [Permits Online tutorial](#)
 - [Application processing times](#)Below the bullet points is a link: [See more online help](#) with a blue arrow pointing right.

[Back to Top](#)

In step 1 of the wizard you must indicate how you are submitting the Personnel Questionnaires required for your application type. Select from these options:

- **All PQs will be submitted separately or are already on file with TTB**

Choose this option when all of the required PQs either will be submitted to TTB separately from the application package, or are already on file with TTB. PQs already on file with TTB include information submitted as an Owner Officer Information (OOI)

application, PQs submitted previously through Permits Online, and PQs that were submitted as part of a paper application.

- **Some PQs will be submitted separately or are on file; I will fill out the rest in this package**

Choose this option if you will be submitting some of the required PQs, but other PQs will be submitted to TTB separately from the application package or are already on file with TTB. You will be required to enter the number of blank PQs that you will fill out with this application. See *People and Positions that must be covered by a [Personnel Questionnaire](#)* if you are uncertain about how many PQs you should complete. Do not count PQs that are being submitted separately or that are already on file with TTB.

- **No PQs will be submitted separately; I will fill them out in this package**

Choose this option if no one will be submitting PQs separately from the application package and/or none are already on file with TTB. You must complete and submit all of the required PQs as part of the application package. You will be required to enter the number of blank PQs that you will fill out with this application. See *People and Positions that must be covered by a [Personnel Questionnaire](#)* if you are uncertain about how many PQs you should complete.

The screenshot shows a web form with two main sections. The first section contains a question: '* 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? :'. To the right of this question is a dropdown menu with three options: '--Select--', 'ALL PQs will be submitted separately or are already on file with TTB.', 'SOME PQs will be submitted separately or are on file; I will fill out the rest in this package.', and 'NO PQs will be submitted separately; I will fill them all out in this package.'. The third option is currently selected and highlighted in blue. The second section contains another question: '* How many blank PQ applications should we add to your application package (dont count those that are being submitted separately)?:' followed by an empty text input field.

In step 3 of the wizard, you will see a list of applications that make up your application package, including blank [Personnel Questionnaires](#), based on how you answered the question above from Step 1 of the wizard. For step-by-step instructions on how to complete the PQ see

Instructions for completing a Personnel Questionnaire.

Step 3 : Application package

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.

Please complete the following applications:

Application for Original Entity	<u>Start</u>
Application for Winery Operations	<u>Start</u>
Personnel Questionnaire	<u>Start</u>
Personnel Questionnaire	<u>Start</u>
Personnel Questionnaire	<u>Start</u>

[Back to Top](#)

Step-by-Step: Completing a Personnel Questionnaire

Step 1: Contact Information

Select "Auto Fill," if you are completing the PQ for/about yourself. Information from your user account will be automatically entered, but you'll also have to supply some additional information. Select "New" if you are completing the PQ on behalf of someone else.

Personnel Questionnaire

1 Contact information 2 Citizenship & criminal rec. 3 Declare & acknowledge 4 Review 5 Submission confirmation

Step 1 : Contact information >>

About the Personnel Questionnaire (PQ)
Personnel Questionnaires (formerly called Owner Officer Information Application, or OOIs) must be completed for the following people:

- **Sole proprietorships:** The owner
- **Partnerships:** Each partner
- **LLCs:** Each member, manager and/or managing member; each interest-holder with 10% or more ownership; each trustee of a trust that holds ownership of the LLC
- **Corporations:** Each officer; each director; each shareholder holding 10% or more of the shares; each trustee of a trust that holds ownership of the corporation

[Learn more about the PQ](#) and how it fits into the application process.

* indicates a required field

Officer-Owner

Please provide the contact information for **the person for whom this PQ is being completed.**

Select "Auto Fill" if this PQ is for you, the person logged into Permits Online. Select "New" if you are completing this PQ on behalf of someone else.

Save and resume later:

Complete all fields with a red asterisks (*). You will find onscreen help by clicking the blue question marks .

Select "Continue."

Contact Information ✕

* First Name: ? Middle Name: * Last Name:


Position/Title:

* Address:

* City: * State: ? * ZIP Code:

Country:

* Primary Phone: Alternate Phone: Fax:

* Gender: Female Male * Birth Date:  * SSN:

Email Address: ?

[Discard Changes](#)

Verify the information is correct or select "Edit." When finished, select "Continue."

Home	My Submissions	Resume Draft	Help
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Personnel Questionnaire

1 Contact information

2 Citizenship & criminal rec.

3 Personal & professional

4 Declare & acknowledge

5 Review

6

Step 1 : Contact information >>

About the Personnel Questionnaire (PQ)

Personnel Questionnaires (formerly called Owner Officer Information Application, or OOIs) must be completed for the following people:

- **Sole proprietorships:** The owner
- **Partnerships:** Each partner
- **LLCs:** Each member, manager and/or managing member; each interest-holder with 10% or more ownership; each trustee of a trust that holds ownership of the LLC
- **Corporations:** Each officer; each director; each shareholder holding 10% or more of the shares; each trustee of a trust that holds ownership of the corporation

[Learn more about the PQ](#) and how it fits into the application process.

* indicates a required field

Officer-Owner

Please provide the contact information for **the person for whom this PQ is being completed.**

Select "Auto Fill" if this PQ is for you, the person logged into Permits Online. Select "New" if you are completing this PQ on behalf of someone else.

✔ Contact added successfully.

Chris Smith

ChrisSmith@email.com
555-555-5555

**123 Main Street
Washington, DC, 20000**


[Edit](#) [Remove](#)

Continue »

Save and resume later:

[Back to Top](#)

Step 2: Citizenship & criminal rec.

Complete all fields with a red asterisks (*). You will find onscreen help by clicking the blue question marks .

Select "Continue."

Personnel Questionnaire

1 Contact information

2 **Citizenship & criminal rec.**

3 Declare & acknowledge

4 Review

5 Submission confirmation

Step 2 : Citizenship & criminal rec. >>

* indicates a required field

Step 2a

BASIC INFORMATION

Provide the name you usually use:

Have you ever been known by any other name?: *

? Yes No

Birthplace - City: *

?

Birthplace - State: *

? --Select--

1. Have you ever been summoned for, arrested for, or charged with any violation of any Federal or State law related to products regulated by Chapter 51 (distilled spirits, wine, and beer) or 52 (tobacco products, processed tobacco, and cigarette papers and tubes) of the Internal Revenue Code or the Federal Alcohol Administration Act? (Charges for minor traffic violations need not be reported): *

? Yes No


If yes, please explain: *

2. Have you ever been summoned for, arrested for, or charged with a felony or misdemeanor violation of any other federal or state law? For misdemeanors, include summonses, arrests, or charges within the last ten years. (Charges for minor traffic violations need not be reported): *

? Yes No

If yes, please explain: *

3. Have you ever been convicted of any felony or misdemeanor under federal or state law? (Convictions for minor traffic violations need not be reported):

 Yes No

If yes, please explain: *

4. Has disapproval ever been given to any application or notice of intention to manufacture, use, store, rectify, bottle, distribute, sell, import or transport alcohol, denatured spirits, distilled spirits, beer, wines, tobacco products filed by you or any firm or corporation of which you were proprietor or a partner, officer, director principal stockholder, or responsible employee?: *

Yes No

If YES to question 4 - State name under which application was filed and reasons for disapproval: *

AMENDED INFORMATION

Is this PQ being submitted in support of an amendment to an existing permit, registration, or notice?: * Yes No

1. Have you ever been arrested for, charged with, or convicted of any crime under federal, state, or foreign laws other than misdemeanor traffic violations or convictions that are not felonies under federal or state law?: * Yes No

If yes, please explain: *

2. Have you ever been denied a permit, license, or other authorization to engage in any business to manufacture, distribute, import, sell, or use alcohol (beverage or non-beverage), tobacco products, or a registration to sell, manufacture, produce, import, export, purchase, or use firearms or ammunition products by any government (federal, state, local, or foreign) agency or had such a permit, license, registration, or other authorization revoked, suspended, or otherwise terminated?: * Yes No

If yes, please explain: *

Step 2b

SUPPLEMENTAL INFORMATION

* 5. Have you ever compromised or settled, by Yes No payment (including fines), stipulated suspension, surrender of permit, or otherwise any violation of federal law relating to products regulated by Chapter 51 (distilled spirits, wine, and beer) or 52 (tobacco products, processed tobacco, and cigarette papers and tubes) of the Internal Revenue Code or any violation of the conditions of a permit or registration issued to you under the Federal Alcohol Administration Act or the Internal Revenue Code?:

If yes, please explain: *

*6. Have you as an individual or in connection Yes No with a partnership, LLC, firm, or corporation ever been affiliated with a federal permit or approval to distill, produce, brew, manufacture, use, store, rectify or blend, bottle, distribute, sell, deal in, or import products regulated by Chapter 51 (distilled spirits, wine, and beer) or 52 (tobacco products, processed tobacco, and cigarette papers and tubes) of the Internal Revenue Code or the Federal Alcohol Administration Act?:

If yes, enter permit, registry, or notice number (if known):

Provide the dates of your involvement: *

Ex.: January 2015 to December 2016

Name and address under which permit, registry, or notice was issued: *

If discontinued, when and why?: *




*7. Have you ever been employed by a partnership, LLC, firm, or corporation with a federal permit or approval to distill, produce, brew, manufacture, use, store, rectify or blend, bottle, distribute, sell, deal in, or import products regulated by Chapter 51 (distilled spirits, wine, and beer) or 52 (tobacco products, processed tobacco, and cigarette papers and tubes) of the Internal Revenue Code or the Federal Alcohol Administration Act?: Yes No

If yes, enter permit, registry, or notice number (if known):

If yes, provide the dates of employment: *

In what capacity/position: *

Provide name and address of person, firm, LLC or corporation: *

Save and resume later: 

[Back to Top](#)

Step 3: Declare and acknowledge

Read the statement and check the box. Select "Continue."

Personnel Questionnaire

1 Contact information 2 Citizenship & criminal rec. **3 Declare & acknowledge** 4 Review 5 Submission confirmation

Step 3 : Declare & acknowledge >> * indicates a required field


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: * 

Save and resume later: 

[Back to Top](#)

Step 4: Review

Here you may review a summary of the information you provided to us.

Personnel Questionnaire

1 Contact information 2 Citizenship & criminal rec. 3 Declare & acknowledge **4 Review** 5 Submission confirmation

Step 4 : Review

Save and resume later: 

This is a summary of the information you provided to us.

Editing Your Answers

Please review your answers below.

[Back to Top](#)

Step 5: Submission Confirmation >> OR Application package

If you are submitting the PQ separately from an application package, Step 5 is a confirmation page with the PQ Tracking Number. Please save this number and provide it to the person who is submitting the associated application package. They will need to provide this tracking number in Step 2a of either the Application for Original Entity or Amended Application for Entity Information (as applicable). You will also receive a confirmation email that contains the PQ Tracking Number.

Submission Confirmation



Congratulations! You have successfully submitted your application(s) to TTB.

The tracking number(s) for your application(s) are displayed below; you can view what you submitted by selecting the tracking number. You will receive an email confirmation of your submission(s) with instructions for viewing the status of each application as it goes through the TTB review process.

Entity Application, Personnel Questionnaires, and Access Requests

PQ-2017-00044

If you are submitting the PQ as part of an application package, you will automatically return to Step 3 of the wizard, where you will notice in your application package that the Personnel Questionnaire is now notated as "Ready to submit (edit)." The PQ will not actually be submitted to TTB until you have completed all the parts of the application package, at which time you will need to select "Submit Application Package" to submit everything at once.

New Applications Wizard



Step 3: Application package

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.

Please complete the following applications:

Application for Alcohol Wholesaler and/or Exporter	<u>Start</u>
Application for Original Entity	<u>Start</u>
Personnel Questionnaire	<u>Ready to submit (edit)</u>

Save and resume later:

[Back to Top](#)