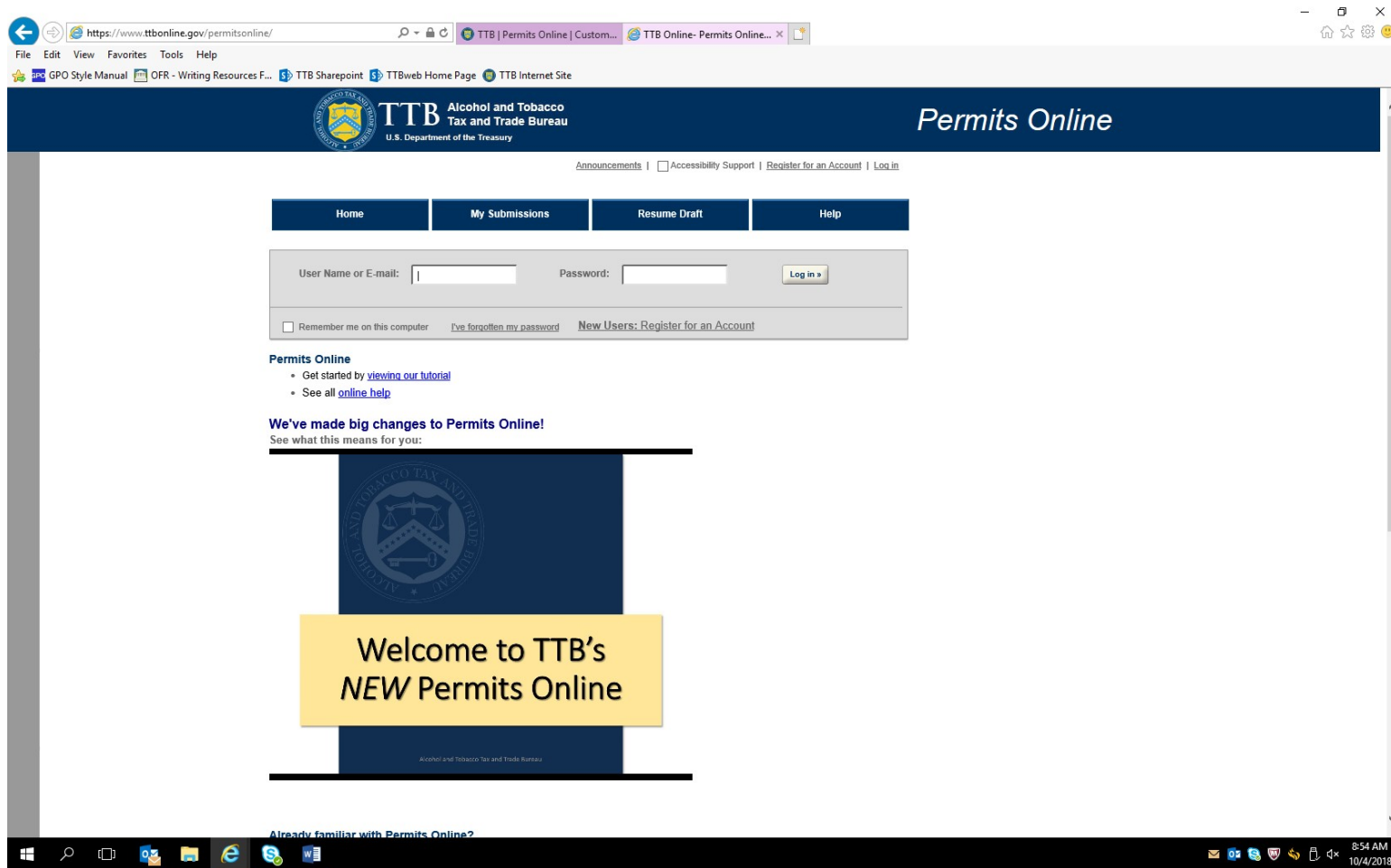


Permits Online (PONL), New Alcohol Wholesaler or Importer Application — for OMB Control No. 1513-0018, Application for Basic Permit under the Federal Alcohol Administration Act).

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 >](#)



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

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/permitonline/>. 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** ▶: 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.

On the right side, there is a yellow box titled "Helpful resources:" containing links for "What's new", "Permits Online tutorial", and "Application processing times", along with a link to "See more online help ▶". 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.

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 buttons for "Home", "My Submissions", "Resume Draft", and "Help". Below this is the "Rules and Responsibilities" section, which includes a text box with the following text:

Please read and accept the rules and responsibilities.

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...

I have read and I accept the above rules and responsibilities.

Below the text box is 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.

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

https://www.ttonline.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 | My Record Collections (0) | Reports (15) | Account Management | Log out

Home My Submissions Resume Draft Help

New Applications Wizard

1 Determine applications 2 Review 3 Application package 4 Submission confirmation

Step 1: Determine applications >>

This wizard will help you identify, fill out, and submit a package of the applications you'll need in order to get your TTB permits, registrations, and/or notices.

* indicates a required field

Application Contact

Please verify your contact information as the person filling out this application package; if it is incorrect update [your information](#) and then start a new application package.

You must have [authority to submit this application package](#) on behalf of the business.

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

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

Premises Address

Please tell us the address of the physical location where the operation(s) will take place.

Street # Fraction Direction * Street Name Street Type Street Suffix

--Select-- --Select-- --Select--

Unit Type Unit Number

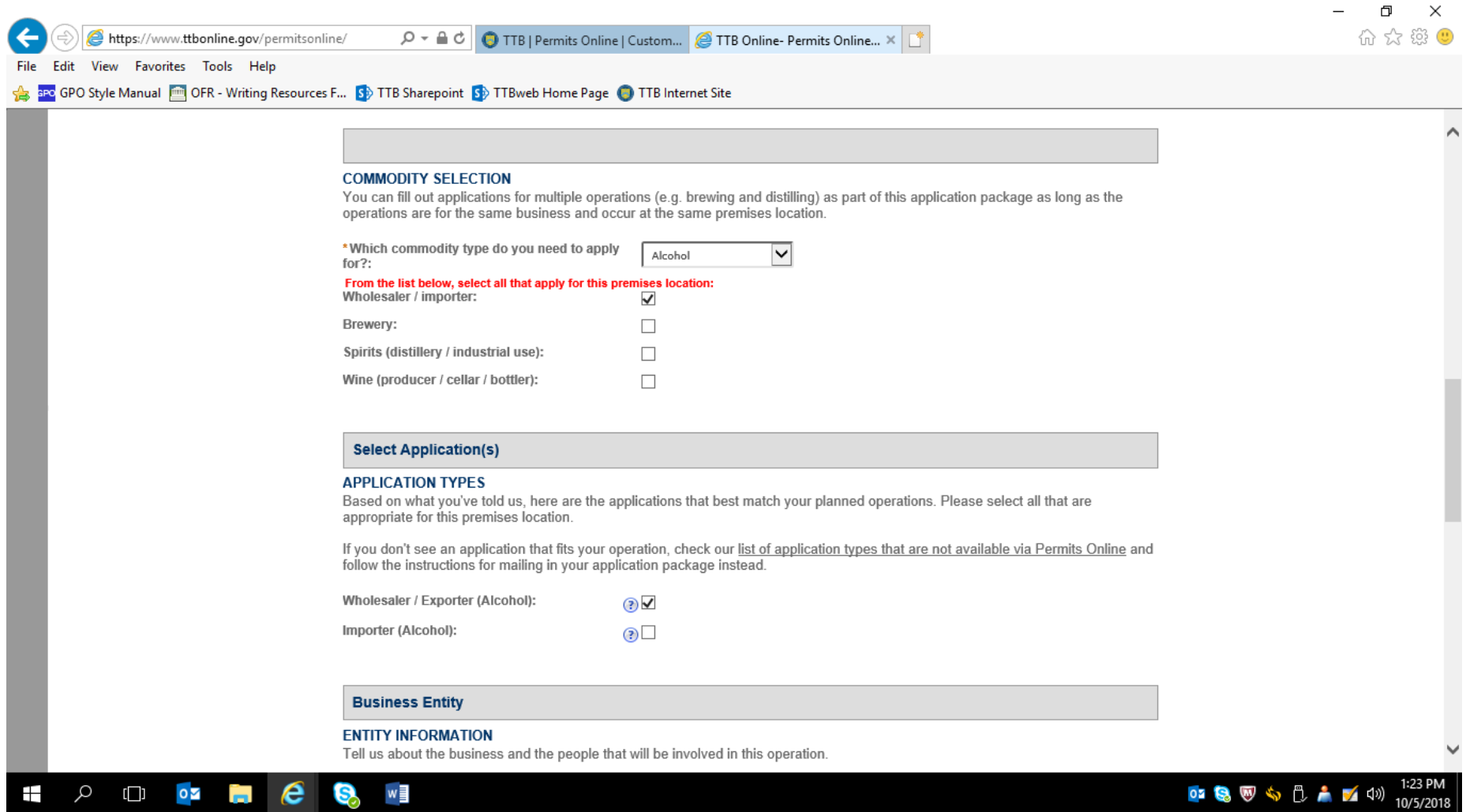
--Select-- --Select--

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

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

9:00 AM 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):



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 includes an "Application Contact" form. At the bottom, contact information for Michael D. Hoover is provided: "Michael D. Hoover, 1310 G Street, NW., Box 12, Washington, DC, 20005. Primary Phone: 202-453-2135, 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?: Alcohol

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 and menu bar are visible. The main content area displays a form for a new alcohol importer or wholesaler. The form is titled "Business Entity" and includes the following 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 owners, officers, and others associated with the business; this information is collected through the Personnel Questionnaires (PQ) (formerly called OOIs). 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" with a "CONFIRM" heading. The text reads: "I have reviewed my answer choices and confirm that they accurately reflect my proposed operation(s) at this premises:" followed by the answer "Yes".

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

The Windows taskbar at the bottom shows the time as 1:27 PM on 10/5/2018. The taskbar includes icons for the Start menu, search, task view, Outlook, File Explorer, Edge, Teams, and Word.

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 with the URL <https://www.ttbonline.gov/permitsonline/>. The browser's address bar and menu bar are visible. The page header features the TTB Alcohol and Tobacco Tax and Trade Bureau logo 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 is titled "New Applications Wizard" and displays a progress bar with five steps: 1. Determine applications, 2. Review, 3. Application package (current step), 4. Pay cash bond if applicable, and 5. Submission confirmation. Below the progress bar, the text reads: "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." The applications listed are: "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 with a document icon. The Windows taskbar at the bottom shows the time as 1:28 PM on 10/5/2018.

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.ttonline.gov/permitsonline/>. The page title is "TTB Online- Permits Online...". The browser's address bar shows the URL, and the page content includes a "PERMIT INFORMATION" section with a "Permit Number:" field. Below this is a "Premises Address" section with a heading and a sub-heading "This section pertains to the physical location where your approved operations will take place." The form fields include: "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), and "County" (empty). Below the Premises Address section is a "Mailing Address" section with a heading and a sub-heading "Please provide the address where mail regarding this operation should be sent." The Windows taskbar at the bottom shows the date and time as 1:38 PM on 10/5/2018.

PERMIT INFORMATION

Permit Number:

Premises Address

This section pertains to the physical location where your approved operations will take place.

Street # Fraction Direction * Street Name Street Type Street Suffix

Unit Type Unit Number

Rural Address Line 1

Rural Address Line 2

* City * State * ZIP Code County

Mailing Address

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

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:

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:

- BUSINESS CONDUCTED - WHOLESALE**
Select the type(s) of alcohol beverages that you intend to purchase for resale at wholesale and/or export.
 - Distilled Spirits:
 - Wine:
 - Malt Beverages (Beer):
- OWNER BACKGROUND INFORMATION**
 - Has any shareholder with more than 10% voting stock, sole owner, general partner, LLC member/manager, or corporate officer or director voting stock ever been denied a permit, license, or other authorization to engage in any business to manufacture, distribute, import, sell, or use alcohol products (beverage or non-beverage) by any government agency (federal, state, local, or foreign) or had such a permit, license, or other authorization revoked, suspended, or otherwise terminated?: Yes No
 - Has any shareholder with more than 10% voting stock, sole owner, general partner, LLC member/manager, or corporate officer or director ever been arrested for, charged with, or convicted of any crime under federal, state, or foreign laws other than traffic violations or convictions that are not felonies under federal or state law?: Yes No
- EXPORT BOND INFORMATION**
 - Will this wholesaler be exporting alcohol without payment of tax?: Yes No

At the bottom of the form, there is a button labeled "Step 2b". The Windows taskbar at the bottom of the screen shows the time as 1:41 PM on 10/5/2018.

(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 has a navigation menu with "Home", "My Submissions", "Resume Draft", and "Help".

The main content area is titled "Application for Alcohol Wholesaler and/or Exporter". It features a progress bar with six steps: 1, 2 Operation description, 3 Upload required documents, 4 Declare & acknowledge (highlighted), 5 Review, and 6 Application package.

Below the progress bar, the text reads "Step 4 : Declare & acknowledge >>". A note indicates "* indicates a required field".

The "Declaration" section is highlighted in a grey box. It contains the following 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.

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: *

At the bottom of the form, there are two buttons: "Continue »" and "« Back to Application Package". To the right, there is a "Save and resume later:" button with a document 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.

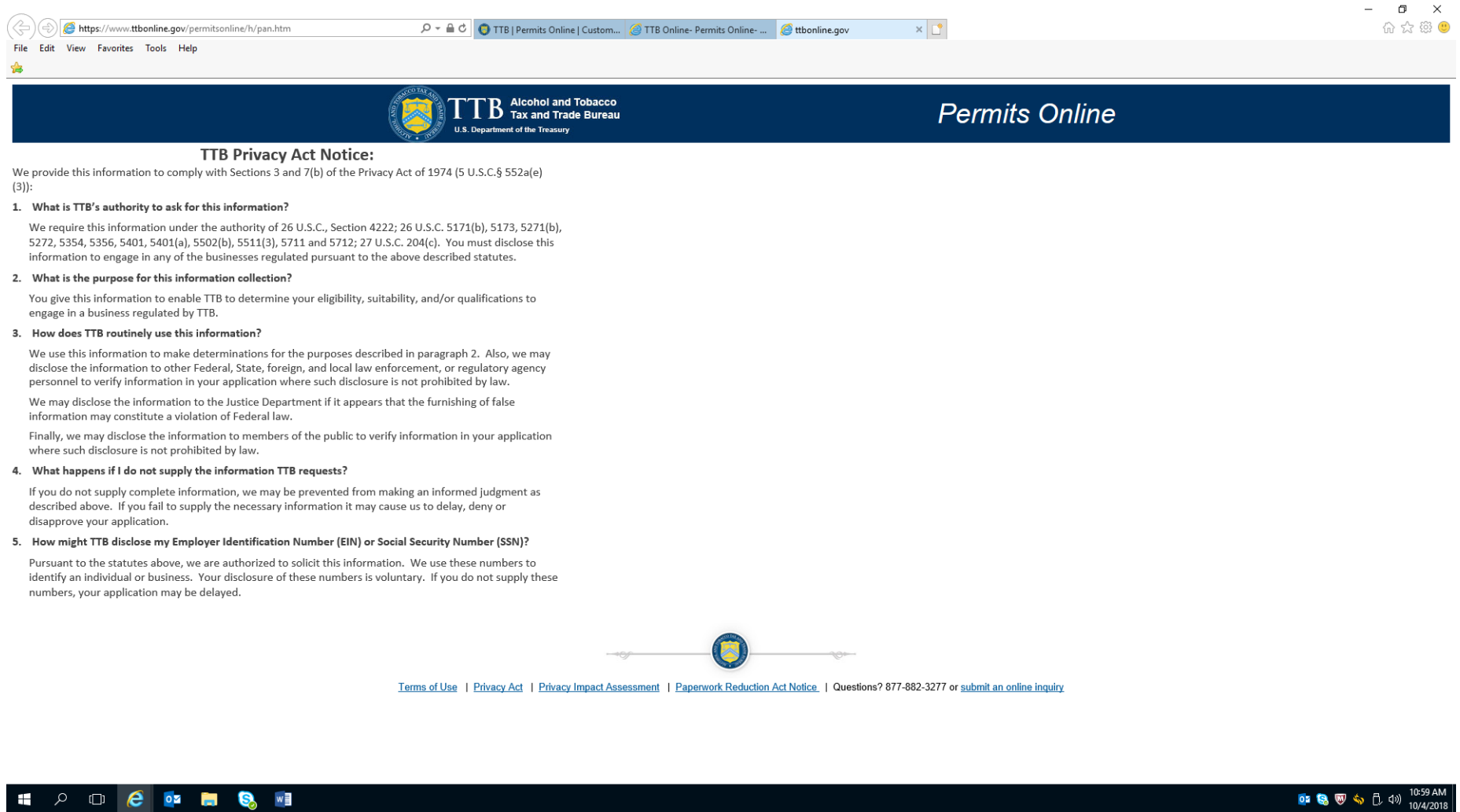
The person who submits a request for a user registration is responsible for any Permits Online activity associated with his or her user name and password.

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.

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

10:59 AM
10/4/2018

Privacy Act



The screenshot shows a web browser window with the address bar displaying <https://www.ttbonline.gov/permitsonline/hv/pan.htm>. The browser tabs include "TTB | Permits Online | Custom...", "TTB Online- Permits Online- ...", and "ttbonline.gov". The browser interface shows "File Edit View Favorites Tools Help" and standard navigation icons.

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".

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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The Windows taskbar at the bottom shows the Start button, search icon, task view icon, and several application icons (Edge, Mail, File Explorer, Teams, Word). The system tray on the right shows the time as 10:59 AM on 10/4/2018.

Privacy Impact Assessment

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)

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.

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Maintained by: Regulations and Rulings Division

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Additional Resources

- 2015 Privacy Act – System of Records Notice (SORN)
- FOIA Logs
- FOIA FAQs

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Paperwork Reduction Act Notice:

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 has several tabs open, including "TTB | Permits Online | Custom...", "TTB Online- Permits Online- ...", and "ttbonline.gov". The main content area contains the following text:

- **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).
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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.