Tips For Navigating Permits Online
February 2012

WELCOME to the TTB

Permits Online Webinar

Overview Topics

- What is Permits Online?
- Major Features for Customers
- Application for Officer Owner Information
- Required Supplemental Documents
- Submitting Your Commodity Application
- Online Help
- Cover Sheet for Required Documents
- Communication from TTB
- Viewing Your Application Data and Attachments
- Printing Approval Documents
- Amendments
- Useful Resources

What is Permits Online?

- Permits Online is a secure, web-based system that facilitates and streamlines the online submission, routing, and internal processing of Original and Amended applications to the Alcohol and Tobacco Tax and Trade Bureau (TTB).

Major Features For Customers

- Self-Registration

- Streamlined online application submission process

- Step by step guidance through Online Help

- Online document submission

- Ability to review application in most TTB forms prior to and after submission

- Ability to search applications and check application status online 24 X 7

- Receive application notifications through e-mail

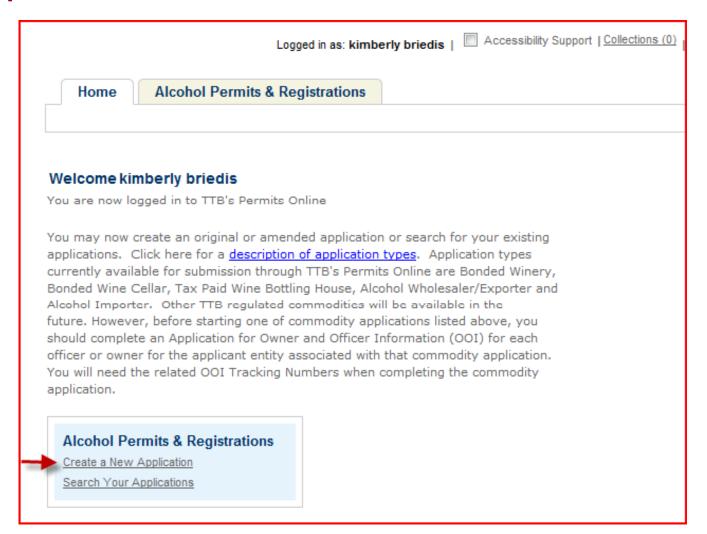- Access approved permit/registration electronically

Application for Owner & Officer Information

- **Before** starting one of the commodity (winery, wholesaler, brewery, etc.) applications, you must complete an Application for Owner and Officer Information (OOI) for **EACH** owner, partner, and/or officer associated with that application.

Application for Owner & Officer Information

Logged in as: **kimberly briedis** | ☐ Accessibility Support | Collections (0)

Home	Alcohol Permits & Registrations

Welcome kimberly briedis

You are now logged in to TTB's Permits Online

You may now create an original or amended application or search for your existing applications. Click here for a description of application types. Application types currently available for submission through TTB's Permits Online are Bonded Winery, Bonded Wine Cellar, Tax Paid Wine Bottling House, Alcohol Wholesaler/Exporter and Alcohol Importer. Other TTB regulated commodities will be available in the future. However, before starting one of commodity applications listed above, you should complete an Application for Owner and Officer Information (OOI) for each officer or owner for the applicant entity associated with that commodity application. You will need the related OOI Tracking Numbers when completing the commodity application.

Alcohol Permits & Registrations
Create a New Application
Search Your Applications

ALCOHOL AND TOBACCO TAX AND TRADE BUREAU
U.S. Department of the Treasury

Home | **Alcohol Permits & Registrations**

Create a New Application | Search Your Applications

TTB's Permits Online Applications

You may now create an original or amended application. Click here for a **description of application types**. Application types currently available for submission through TTB's Permits Online are Bonded Winery, Bonded Wine Cellar, Tax Paid Wine Bottling House, Alcohol Wholesaler/Exporter and Alcohol Importer. Other TTB regulated commodities will be available in the future.

You must read and accept the terms below before beginning your application.

Please "Allow Pop-ups from This Site" before proceeding.

Under penalties of perjury, I declare that I have examined this application, including accompanying statements, and to the best of my knowledge and belief, it is true, correct, and complete. The 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 within a reasonable period of time and maintain such

☑ I have read and accepted the above terms.

Continue Application »

7

Application for Owner & Officer Information

- Permits Online will generate a unique OOI Tracking Number for each application submitted.

- You will need these OOI Tracking Numbers to complete the Owner Officer Table within the commodity application.

- For applicants who are familiar with TTB forms, this application replaces certain questions on Form 5000.9, Personnel Questionnaire, as well as questions found on other TTB forms.

Application for Owner & Officer Information

- Some tables in the OOI are not required for all users. Be sure to read the directions before each section.

- **Do not wait** on your OOI to be processed before submitting your commodity application.

Required Supplemental Attachments

- For each Original Application, a combination of application type (Winery, Wholesaler/Importer, Brewery, DSP, etc) and business entity type (Corporation, LLC, Sole Proprietorship, Partnership) determines which attachments are required with your application.

- Use the link supplied on the Permits Online page at http://www.ttb.gov/main_pages/permits_online.shtml to determine your required attachments

Required Supplemental Attachments

- TTB may consider an incomplete application for abandonment after a short period, usually 15 days. To prevent this action, list each required document and the method of submission for each in the **Statements and Documents table** of your application.

- During the application process, you will have the opportunity to upload an electronic copy of all required documents. If you are unable to upload the attachments, you may submit them by mail or fax.

Required Supplemental Attachments

- If required, you must submit Bond forms, Change of Bond (Consent of Surety) Forms, and Power of Attorney Forms <u>by mail</u>.

- You can create partially completed versions of these forms by completing the online application first and then accessing them and printing them from Permits Online.

Required Supplemental Attachments

- To use the Pre-filled Forms functionality from Permits Online, you must have either saved your application (prior to submission using the "Save and Resume Later" option) or already submitted your application.

- You will select "Search Your Applications" and then click on the blue underlined Tracking Number of the application you wish to open.

- You will select "Reports" at the top of the page and then pick the form you wish to print from the dropdown.

Submitting Your Commodity Application

- Once you've submitted your OOIs and have your required supplemental documents ready, you will again choose to create a new application and select the appropriate commodity type.

- If you are unsure of what type of application you should apply for, there is a link to provide a further explanation to you.

- Be sure to answer each question and "Add a Row" to address each table that is applicable.

Welcome Scott Cain

You are now logged in to TTB's Permits Online

You may now create an original or amended application or search for your existing applications. **Click here for a _description of application types_ currently available.**

Alcohol Permits & Registrations

Create a New Application

Search Your Applications

Tobacco Permits & Firearms Registration

Create a New Application

Search Your Applications

Select an Application Type

Click here for a _description of application types_. For assistance please contact TTB at 1-855-TTB-PONL.

TIP: You must complete all Owner Officer Information (OOI) application(s) prior to starting a commodity application. After submitting all OOIs to TTB, you will receive an OOI Tracking Number. You will need to insert each OOI Tracking Number into the OFFICER/OWNERSHIP INFORMATION table in your commodity application.

--Select a Category--

--Select a Category--
Original AFP
Original Brewery
Original DSP
Original SDS TFA USGOV
Original WHL IMP
Original Winery
Owner Officer Information
Request Access - Existing Data

PERMITS ONLINE

Online Help

- General Help - At the top of every page in the application information section, there is general guidance that will explain the reason for the requested information and supply useful guidance on completing the associated fields.

- Throughout each application, there are numerous Help Buttons represented by a Question Mark inside a circle. **Select these buttons for field-specific instructions and guidance.** This help can assist you in avoiding routine mistakes.

Cover Sheet for Required Attachments

- Once you submit an application, a page will be shown acknowledging that the application has been successfully submitted and directing you to print out a **Cover Sheet**.

- This Cover Sheet uses the information you provided in the Statements and Documents section and will assist you **if** you will be **mailing or faxing** any of the required documents.

- If you fail to print out your Cover Sheet upon submission, you may also access it later. Instructions on accessing the Cover Sheet in this instance are available in the Customer Reference Guide at the PONL page of ttb.gov.

PERMITS ONLINE

Cover Sheet for Required Attachments

Thank you for using TTB's Permits Online.
Your Tracking Number is SD-2012-00002.

You will need this number to check the status of your application. You will be notified via email that we have received your application. If you do not receive an email acknowledging receipt within 24 hours, please contact TTB at 1-855-TTB-PONL.

AFFIRMATION
Under penalties of perjury, I declare that I have examined this application, including accompanying statements, and to the best of my knowledge and belief, it is true, correct, and complete. The 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 within a reasonable period of time and maintain such operations in conformity with Federal law.

I understand that the information supplied by me in connection with this application will be used by TTB to make a determination on the application. not prohibited, TTB officers may disclose this information to o foreign, and local law enforcement and regulatory agency pers information on the application, and for enforcement of the law The information may be disclosed to the Justice Department i to be false or misleading. TTB officers may disclose the inform verify information on the application where such disclosure is r

I understand that if I fail to supply the information requested the issuance of the permit. I understand that TTB is asking fo Identification Number and/or my Social Security Number for id do not supply the numbers, I understand my application may

Print Cover Sheet

Record SD-2012-00002:
Application for New Specially Denatured Spirits - Dealer

Record/Application Details

Premise Location:
789 Testing WAY
Middletown OH 21232-1212
▶ More Details (Click arrow to view details)

Print Cover Sheet

20

Communication from TTB

- TTB will email you at various steps in the application process. These emails will contain status updates and may communicate actions you must take before we can continue to process your application.

PERMITS ONLINE

Communication from TTB

■ In certain instances, you must log into Permits Online to view additional information such as comments or instructions.

■ These comments may be sent to you (if applicable) which pertain to missing required documentation (Initial Review), application data that we corrected (Specialist Review), or specific instructions or limitations regarding an approval or denial of your application (Manager Disposition).

Communication from TTB

■ **To view these additional Comments about your application, use the following steps:**

    ☐ Login to Permits Online

    ☐ Use the "Search Your Applications" button to find your application

    ☐ Click on the application tracking number

    ☐ Click on the arrow next to the Status bar

    ☐ Click on the arrow button next to either "Initial Review", "Specialist Review", or "Manager Disposition"

    ☐ Click on the plus sign (+) box next to one of the above categories to reveal the specific comments

Status (Click arrow to view details)

Specialist Review

Recommend Final Disposition	02/08/2012	Mary B Duncan
Correction Accepted	02/08/2012	Mary B Duncan
Correction Requested	02/08/2012	Mary B Duncan

Comment: Correction Requested - The Letter of Intent from Foriegn Supplier was not submitted with your application and must be submitted within fifteen days of this notice.

Pending	09/14/2011

Referral Review
Field Review
Final Review
Manager Disposition

PERMITS ONLINE

Viewing Your Application Data & Attachments

■ You may view your information <u>if</u> you have either:

- saved your application (prior to submission using the "Save and Resume Later" option)

OR

- already submitted your application.

Viewing Your Application Data & Attachments

- You will need to login and use the "Search Your Applications" button to find your application

- Then click on the tracking number of the application.

- Then click on the arrow next to "More Details" within the "Record/Application Details" section.

- You may then open various subsections of your application by clicking on the plus sign (+) next to each subsection.

Viewing Your Application Data & Attachments

Viewing Your Application Data & Attachments

■ To access and view any documents you have <u>attached</u> to your application:

  ➤ click on the arrow next to "Supporting Documents and Attachments"

  ➤ Click on the name of the document and select "Open" to view the attachment.

▼ Supporting Documents and Attachments (Click arrow to view details)

Use the Attachment table to *upload* supplemental documents. Select "Upload a New Attachment" for each supplemental document that you are uploading. Contact TTB for more information or support about this table at 1-855-TTB-PONL (1-855-882-7665) M-F 8am - 4pm EST or click here to access the PONL Customer Reference Guide.

Attachment List
Files can be up to 16MB in size. Acceptable file types include .doc, .pdf, .jpg, .xls

Name	Record ID	Record Type	Entity Type	Type	Size	Date
▶ Copy of DL.pdf	WN-2012-00026	Application for New Winery Operation	Record	Copy of Drivers License or Official State ID Card	93.33 KB	02/08/2012
▶ Articles of Organization.docx	WN-2012-00026	Application for New Winery Operation	Record	Articles of Organization	9.68 KB	02/08/2012

▶ Upload a New Attachment

Printing Your Approval Documents

■ TTB may attach certain documents to your application after its final disposition. This may include an approval letter, permit, registration, and other approval documents (as applicable) or information regarding a denial, withdrawal, or abandonment.

■ You won't receive paper versions of these approval documents, so you must retrieve them from Permits Online.

Printing Your Approval Documents

- TTB may attach certain documents to your application after its final disposition. This may include an approval letter, permit, registration, and other approval documents (as applicable) or information regarding a denial, withdrawal, or abandonment. To access:

  - ☐ Use the "Search Your Applications" button to find your application
  - ☐ Click on the application tracking number
  - ☐ Click on the triangle next to Supporting Documents and Attachments
  - ☐ Click on the Document name of the document you wish to open
  - ☐ Select "Open" to view, print, or save the TTB attachment.

PERMITS *ONLINE*

Record 2010-IMP-00203-O:
Alcohol Importer

Add to collection

Record/Application Details

Premise Location:
2343 Excited LN
Manhattan NY 11111-4444
▶ **More Details (Click arrow to view details)**

Create Amendment

▶ **Status (Click arrow to view details)**

▼ **Supporting Documents and Attachments (Click arrow to view details)**

For each document that you have indicated above that you are going to upload to TTB through Permits Online, you need to click on "Upload a New Attachment" and then complete the information regarding the Type and Description of the attachment. You must also browse your computer to find the item you wish to attach in the File field. Once you have located the file and provided the required information, click on Attach File. You can repeat this process for every item you will be uploading associated with this application.
Click on "Continue Application" when you are finished with this section/page.

Attachment List
Files can be up to 16MB in size. Acceptable file types include .doc, .pdf, .jpg, .xls

Name	Record ID	Record Type	Entity Type	Type	Size	Date	
BasicPermitIMP.pdf	2010-IMP-00203-O	Alcohol Importer	Record		433.08 KB	03/16/2011	Delete
▶ Copy of DL.pdf	2010-IMP-00203-O	Alcohol Importer	Record	Copy of Drivers License or Official State ID Card	93.33 KB	03/16/2011	

PERMITS ONLINE

Amendments

- Industry members who did not receive their initial approval through Permits Online cannot yet file amendments through the system. We expect this functionality to be available by the end of the summer of 2012.

- Customers who did have their original applications approved through Permits Online should file any amendments through the Permits Online system as well.

Amendments

■ Once you are able to file amendments, you will select "Create Amendment" from the approved original or primary record for each permit or registration.
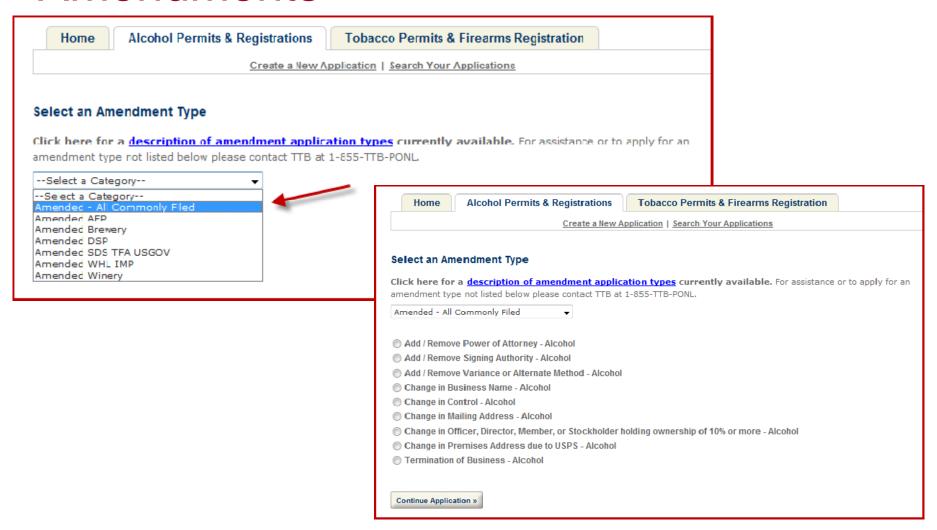
Amendments

- You will then choose from a list of amendment types from the specific Commodity Group (which contains amendments specific for that type of operation) or from "All Commonly Filed", which contains amendments shared by all commodities.

Amendments

Home | Alcohol Permits & Registrations | Tobacco Permits & Firearms Registration

Create a New Application | Search Your Applications

Select an Amendment Type

Click here for a **description of amendment application types** currently available. For assistance or to apply for an amendment type not listed below please contact TTB at 1-855-TTB-PONL.

```
--Select a Category--                      ▼
--Select a Category--
Amended - All Commonly Filed
Amended AFP
Amended Brewery
Amended DSP
Amended SDS TFA USGOV
Amended WHL IMP
Amended Winery
```

Home | Alcohol Permits & Registrations | Tobacco Permits & Firearms Registration

Create a New Application | Search Your Applications

Select an Amendment Type

Click here for a **description of amendment application types** currently available. For assistance or to apply for an amendment type not listed below please contact TTB at 1-855-TTB-PONL.

```
Amended - All Commonly Filed    ▼
```

◎ Add / Remove Power of Attorney - Alcohol
◎ Add / Remove Signing Authority - Alcohol
◎ Add / Remove Variance or Alternate Method - Alcohol
◎ Change in Business Name - Alcohol
◎ Change in Control - Alcohol
◎ Change in Mailing Address - Alcohol
◎ Change in Officer, Director, Member, or Stockholder holding ownership of 10% or more - Alcohol
◎ Change in Premises Address due to USPS – Alcohol
◎ Termination of Business - Alcohol

Continue Application »

PERMITS ONLINE

36

Amendments

- Filing an amendment using Permits Online is easy, for the application brings back your current approval information and allows you to show the changes that you are making from that existing data. Most amendments can be filed very quickly using Permits Online.

- You can only file one amendment of each type at a time.

- You need to use Permits Online to file all amendments if you were approved in Permits Online.

Useful Resources

- **Online Help** – Carefully read and use the Help provided at the beginning of each section and the field specific help in the circled question mark

- **Required Supplemental Documents List** – what attachments must accompany your application

- **Customer Reference Guide** – this information & more

  http://www.ttb.gov/main_pages/permits_online-user-guide.shtml

Useful Resources

- The Permits Online **Customer Reference Guide** is updated regularly and contains valuable information not covered in this presentation, including guidance on topics such as:
  - ☐ Self-Registration
  - ☐ Applications Available in Permits Online
  - ☐ Saving Your Information / System Timeout
  - ☐ Application Contacts and Addresses
  - ☐ Permits Online Tracking Numbers
  - ☐ Collections feature
  - ☐ Navigation Tips
  - ☐ …and much more

Useful Resources

- **Permits Online Help Desk** - 1-855-TTB-PONL
  - ☐ Assistance Unlocking Locked Accounts
  - ☐ Help with Using the System or Solving System Problems

- **Application Groups**
  - ☐ Assistance with answering commodity-specific questions 1-855-TTB-FAQS(1-855-882-3277)

Useful Resources

- **Customer Feedback Email**

  - **Tell us what you liked, didn't like, ways we can improve, and general thoughts on the use of the system so we can make Permits Online even better.**

  - **CustomerFeedbackPermitsOnline@ttb.gov**

Questions & Answers