

# Maple Wine Methods and Materials for NY State Maple Syrup Producers



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## **Introduction**

Maple syrup is a pure, all natural sweetener that can be diluted and fermented to create a pleasant, full-bodied wine with elegant structure and strong maple character. However, without proper materials and technique, it is easy to make a poor quality wine that is bitter, astringent or sickly sweet. The purpose of this book is to provide technical guidance for the production of maple wine and details on the legal procedure for becoming a wine producer in New York State.

Traditional wines are created through the fermentation of grape juice sugars by specialized yeasts. This ancient industry has seen a surge in growth in recent decades. The New York State wine industry generates over \$4.8 billion in annual economic activity. An increased interest in local wines creates an opportunity for non-traditional wines produced with alternative sugars. With maple wine, maple producers can tap this lucrative and expanding market.

Maple wine is not new, but for a variety of reasons it has not gained traction in the marketplace as a desirable, value-added maple product. One reason is the technical challenge of creating a good quality maple wine. To overcome this obstacle, the Cornell Maple Program collaborated with six undergraduate students completing their capstone project in the Departments of Food Science and Viticulture and Enology to establish best practices for producing maple wine. The goal was to make a distinctive wine with maple syrup as the only sugar source, strong notes of maple in the flavor profile, and a good balance of tannins and acidity to create a complex structure.

Another barrier to the production and sale of maple wine is the regulatory environment surrounding alcohol. Compliance through several state and federal agencies is required creating a potentially confusing array of licenses and permits. To resolve this issue, the Cornell Maple Team again paired with Food Science students to develop clear guidance describing the regulatory and practical requirements for maple wine production and sale in New York State.

Results from the fermentation trials as well as the compiled information regarding becoming a licensed wine producer in New York State have been presented as a guidebook attached as Appendix C of this report.

## **Maple Wine Production**

To determine the feasibility of fermenting maple syrup in a manner similar to that done with grape wine, two different experiments were conducted. The first was to isolate the ideal yeast strain to use, and the second was to allow for a greater array of post-fermentation treatments to be evaluated. These experiments were done sequentially, allowing for recommendations from the first trial to be implemented in the following one.

### ***Adjustments***

Maple syrup has limited to no yeast nutrients. Therefore, the yeast was rehydrated in Go-Ferm following standard procedures, adding 150ppm (parts per million) Yeast Assimilable Nitrogen (YAN) at inoculation and another 150ppm YAN at  $\frac{1}{3}$  fermentation completion. This was done to avoid yeast stress and the production of hydrogen sulfide off- aromas. While grapes are composed of water, sugar, acid, nitrogen, and phenolic compounds, maple syrup is cooked, distilled tree sap, and is composed primarily of sucrose, with some glucose and fructose. This comparison is necessary to understand the vastly different environments that yeasts experience during a maple wine fermentation prior to any adjustments.

Key aspects of the maple syrup composition were altered prior to fermentation to provide a more hospitable habitat for yeast fermentation. First, the sugar concentration was significantly decreased to provide a reasonable concentration of fermentable sugars while avoiding a finished product with extremely high sugar content. With the initial yeast strain trials, two dilutions were used. Five yeast strains fermented at a 1:2 part volumetric syrup to water

ratio, and three of those yeasts strains also fermented in a 1:1 dilution. In the later fermentation, a single yeast strain was selected to ferment in a 2:3 dilution which was determined to be ideal from the results of the initial trial. These dilutions were accomplished by slowly adding syrup to a beaker of heated water while stirring continuously.

In the first trial, we concluded that a 1:1 dilution resulted in final residual sugar concentrations that were too high and overpowered the wine. We also concluded that the 1:2 dilution fermented to dryness resulting in staunchly dry wines that were unbalanced and had too strong of an alcohol burn. These results of the sensory analysis from trial one are summarized in Appendix A, Table 1. In the second trial, we chose a 2:3 dilution to achieve a wine with moderate alcohol content and moderate residual sugar. We recommend this dilution rate and to halt the fermentation before it reaches 14% alcohol by volume to ensure that it can be considered a wine based on the standards of identity provided by the Code of Federal Regulations and described in the provided guidebook. At this dilution rate, the residual sugar should be between 1 and 2% which results in a balanced wine.

Next, the pH was adjusted to prevent microbial spoilage and create a favorable environment for *Saccharomyces cerevisiae* yeast. This was done via the addition of tartaric acid which was chosen for ideal flavor qualities. The maple syrup dilutions were measured to have an initial pH of 6.09 for 1:2 dilution and 6.13 for 1:1 dilution. In each of the initial yeast trial samples, 4 grams per liter of tartaric acid were added, and 5 g/L were added to the post-fermentation trial, in powder form, directly to the dilutions. The pH after tartaric additions was measured to be roughly 4 in the yeast trials and 3.27 for the 2:3 dilution.

Finally, to alleviate the absence of yeast-assimilable nitrogen (YAN), an addition of 300 mg/L of Fermaid-K (commercial name of YAN product) was added to the maple syrup dilution. This was done prior to inoculation in the yeast trials, and after inoculation in the post-fermentation trial.

### ***Yeast Trials***

Five different strains of *Saccharomyces cerevisiae* yeast were selected to test on maple syrup fermentations. These selections were made based on the yeast's tolerance for alcohol (which corresponds to initial sugar concentration), typical fermentation speed, and their ability to impart traditionally maple syrup-associated notes to the final product. Selected yeast strains include 71B, EC1118, V1116, ICV-D254, and BA11. Each strain was inoculated in one-liter 1:2 dilution of syrup. 71B, EC1118, and V1116 were also selected for inoculated in one liter at 1:1 dilution. The yeasts were rehydrated and inoculated using GoFerm, according to the recommended temperatures and dosages provided by the manufacturer. The fermentations were all monitored daily using an Anton Paar densitometer to track brix, and a YAN addition using Fermaid K was made approximately 1/3 of the way through the fermentations. Brix measurements for the yeast trial are presented in Appendix A, Figure 1.

Fermentations were halted by lowering the temperature of the wine to 3.9°C from a fermentation temperature of 20°C and adding sulfur in the form of potassium metabisulfite. The 1:2 dilutions were stopped after fermenting to dryness and the 1:1 dilutions were halted at the same time as the last 1:2 dilution, allowing for a total fermentation time of 19 days.

The first trial with multiple yeast strains gave us valuable insights to which strains perform best in a diluted syrup environment, and which produce desirable aromas and flavors. In terms of fermentation kinetics, strain 71B seemed to lag behind the rest of the strains and became stuck before completing the fermentation, as can be seen in Figure 1. Therefore, 71B is not a strain we recommend. In terms of flavor and aromatic complexity, strain V1116 produced the most desirable sensory profile in both high and low sugar concentrations. We also recommend this strain because it had the best fermentation kinetics in both dilutions.

After fermentations were arrested, the maple wine was treated with various fining

methods to improve clarity including different types of isinglass and charcoal. After allowing these to settle, wine was racked off the lees. Filtering trials with commenced and were quickly abandoned due to an extreme loss of volume, even with coarse filters. We were unsuccessful in filtering out the charcoal, despite a considerable loss of volume, resulting in an unfavorable hue. In addition to filtering trials, oak tannins were added to each of the wines. Because of the miniscule nature of tannin additions and the equally small quantities of maple wine from each trial, most wines received different tannin treatments so that a number of tannins could be sampled. Results from tannin trials are outlined in Appendix A, Table 2.

### ***Post-fermentation Trial***

A second fermentation was initiated to give us a larger volume with which to test post-fermentation treatments in a more controlled manner. Five gallons of 2:3 dilution maple dilutions were prepared and treated with tartaric acid as described in the Yeast Trial methods. This dilution was then inoculated with V1116, again rehydrated and inoculated using GoFerm and according to the recommended temperatures and dosages provided by the manufacturer. One third of the fermentation period in, 300 mg/L of Fermaid K was added.

An Anton Paar densitometer was used to intermittently monitor this fermentation. It was halted at 0.97°Brix, after 21 days, based on sensory perception, by lowering the temperature to 11.5 degrees Celsius and adding 100ppm potassium metabisulfite. Following this, bentonite was added as a clarifying agent via a slurry and allowed to settle for one week, after which it was siphoned into a 6 gallon glass carboy. 1ppm BSG Liquid Oak Tannin Vanilla was added to simulate the flavor contribution of aging in an oak barrel.

### ***Conclusions***

Based on the results of these trials, a sample formulation was developed as a starting point for maple wine production. The recommended formulation provides for a maple wine produced

from a 2:3 dilution of maple syrup using strain V1116 *Saccharomyces cerevisiae*. Detailed instructions are included as Appendix B. This formula will yield a wine with aromatic and flavor notes reminiscent of the desired qualities in maple syrup including notes of vanilla, caramel, and florals.

## **Commercial Wine Production**

Developing a quality wine formulation is only the first step in the commercial production and sale of wine. Other considerations include licensing, regulatory requirements, equipment needs, and marketing planning. The guidebook *Maple Wine 101*, attached as Appendix C, provides an explanation of federal and New York State licensing requirements and regulations. This documents also includes sample forms, marketing considerations and a description of possible startup equipment requirements.

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Permits Online Customer Page. In: ttb.gov. <https://www.ttb.gov/ponl/permits-online.shtml>

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<https://foodscience.cals.cornell.edu/extension/sensory-analysis/>

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Wine Labeling Requirements. In: <https://www.stoel.com/legal-insights/article/wine-labeling-requirements>

## Appendix

### Appendix A Fermentation Data

Figure 1. Yeast Strain Fermentation Kinetics

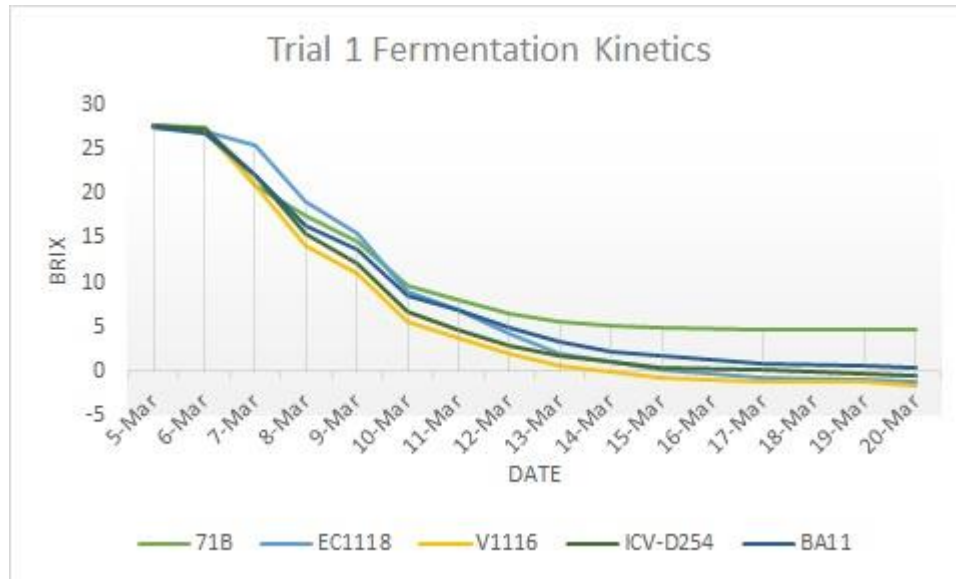


Table 1. Yeast Strain Post-Fermentation Sensory Analysis, Trial 1

Dilution	Yeast	Sensory Analysis
1:2	71B	tastes like syrup, sweet, lower alc
	EC1118	marshmallow aroma, watery, sour, green apple
	V1116	nutty, slightly tart, good complexity
	ICV-D254	sweet perception, classic maple, spice, maple cream, butterscotch,
	BA11	sweeter, maple flavor
1:1	71B	potent maple flavor,
	EC1118	bright citrus, potent maple flavor
	V1116	sweet, orange rind, caramel apple, orange blossom, walnut, classic maple

Table 2. Tannin Addition Sensory Analysis

Addition	Yeast Strain, Dilution	Tasting Notes
1ppm BSG Liquid Oak Tannin FEN-PLUS	71B, 1:2	Slight oaky aftertaste, not a lot of astringency
0.5mL LUXE Onyx	EC1118, 1:2	Watery and astringent
200ppm Tanin Estate	V1116, 1:2	Good with a little bit of sugar
1ppm BSG Liquid Oak Tannin VANILLA	ICV-D254, 1:2	Good oaky vanilla, not much added to structure
0.1mL LUXE Royal	71B, 1:1	Sugar overpowers tannin
0.5mL LUXE Royal	EC1118, 1:1	Some astringency, not enough for the sugar
1ppm BSG Liquid Oak Tannin FEN-FRESH	V1116 1:1	Too sweet, slightly more complexity than LUXE Royal

## **Appendix B Sample Formulation and Preparation**

- 5 Gallons 2:3 dilution maple syrup to water
- 5 g/L (20 g/Gal) Tartaric Acid, to pH 3.25
- 300 mg/L (1,200 mg/gal) Fermaid K
- Strain V1116 yeast, rehydrated in GoFerm
- Potassium Metabisulfite
- Bentonite
- 1ppm BSG Liquid Oak Tannin Vanilla

5 gallons of maple syrup dilution made by a 2:3 dilution of syrup to water was treated with 5 g/L tartaric acid to a pH of 3.25 and inoculated with V1116 yeast rehydrated in GoFerm. 150 mg/L Fermaid K was added at inoculation and another 150 mg/L at 1/3 fermentation completion (7 days). Fermentation should be monitored and kept between 70 and 85°F. At 85°F, our fermentation reached 0.97 °Brix in 21 days. At this point, the temperature was lowered to 40°F and 60ppm potassium metabisulfite was added to halt fermentation. Bentonite slurry was added and allowed to settle for 1 week before the product was racked off. A final addition of 1ppm BSG Liquid Oak Tannin Vanilla was added before the product was bottled.

## **Appendix C**

Maple Wine 101: Formulation, Production, and Marketing of a Fermented Maple Syrup Product

*Attached*

# **Maple Wine 101**

**Formulation, Production, and Marketing of a Fermented Maple Syrup Product**

Written By Sierra Faust and Lily Hemler, Cornell University Department of Food Science

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In Partnership with the Cornell Maple Program

## Table of Contents

1. Getting Started	
a. What is Maple Wine?	3
b. What Kind of Winery Do You Want To Be?	3
c. Getting Started	4
2. Licensing Process	
a. NY State Farm Winery License	4
b. TTB Applications	5
c. FDA Application as a Food Production Facility	5
3. Bottling and Selling Wine	
a. Bottling and Labeling Requirements	5
b. Where and How to Sell	6
4. Making the Wine	
a. Equipment Considerations	6
b. Consumables	7
Appendix A: Formulation Recommendations	
1. Sample Recipe	8
2. Sample Instructions	8
3. Yeast Flavor Profile Notes From Initial Fermentation Trials	9
4. Tannin Addition Notes	9
Appendix B: Useful Application Documents	10

So you're thinking about dabbling in fermentations? Great! Here are a few things you should know about getting started in the maple wine industry.

## **1. Getting Started**

### **a. What is Maple Wine?**

Maple wine is a fermented product made from the fermentation of a maple syrup dilution by *Saccharomyces cerevisiae* yeast. Acid and nitrogen additions are necessary to provide adequate fermentation conditions. Fining agents for clarification, tannins, and other flavor and aromatic aspects may be added. Maple Wine is defined by the Code of Federal Regulations (CFR Title 27 Chapter 1 Part 4 Subpart C §4.21 part F) as “wine from other agricultural products. (1)(i) Wine of this class is wine (other than grape wine, citrus wine, or fruit wine) made by the normal alcoholic fermentation of sound fermentable agricultural products, either fresh or dried”. Wines of this class may be table wine with an alcohol content not in excess of 14 percent by volume or a dessert wine with an alcohol content greater than 14 percent but not in excess of 24 percent by volume. In this class, wine derived wholly from a single agricultural product will be named “wine” quantified by the type of agricultural product. If more than one agricultural product is used (such as the addition of fruits), the name should thusly and truthfully reflect the composition of the wine product.” Therefore, wine made solely from maple syrup shall be labeled ‘maple wine’. For more information about the qualifying identity of maple wine, see the US Code of Federal Regulations linked below.

- i. Code of Federal Regulations, Wine Standards of Identity\_  
[https://www.govregs.com/regulations/expand/title27\\_chapterI\\_part4\\_subpartC\\_section4.21#title27\\_chapterI\\_part4\\_subpartC\\_section4.21](https://www.govregs.com/regulations/expand/title27_chapterI_part4_subpartC_section4.21#title27_chapterI_part4_subpartC_section4.21)

### **b. What Kind of Winery Do You Want To Be?**

- i. Many NY State maple producers may qualify to register as a Farm Winery. Under this license, the manufacturer must produce wine with only products made in New York State. If you plan to produce less than 250,000 but greater than 50 gallons of wine annually and sell most of your product on premise, through wine dealers, or other distributors, the NY Farm Winery License may apply to your business. Reference the NY Senate website linked below to read the Alcoholic Beverage Control Article 6. Applications through New York State Liquor Authority can be found in section 2.a of this article.
  1. New York Senate Consolidated Laws, Alcoholic Beverage Control Article 6: Section 76.A Farm Winery License\_  
<https://www.nysenate.gov/legislation/laws/ABC/76-A>
- ii. The Alcohol and Tobacco Tax and Trade Bureau describes three avenues for entering the wine industry. Taking into consideration your goals as a wine facility, decide how you would like to participate in the fermentation process. A bonded winery will produce their own wine and require the equipment and facilities to complete fermentations, bottling, and sales. An alternating proprietor will still produce wine but will elect to share or rent equipment and facilities for production. A custom crush client would

produce maple syrup and work with a winery to produce the wine for them. More information can be found at the TTB website linked below.

1. Alcohol and Tobacco Tax and Trade Bureau, Wine Industry Applications and Information

[https://www.ttb.gov/wine/federal\\_app.shtml](https://www.ttb.gov/wine/federal_app.shtml)

### **c. Getting Started**

- i. Once your goals are set for the type of production you would like to undertake you may need to apply with New York State Liquor Authority, the TTB, and/or the FDA as a food production facility if you qualify and have not already registered. Application processes are detailed in Section 1. Facility and equipment needs are outlined in Section 4 as well as suggestions for formulations and additions for your wine fermentations. We suggest testing out a few rounds of fermentation to find the recipe that works for you and get a little practice with the fermentation process. Additional resources can be found at the following websites.

1. Cornell Small Farms Program has a “One Stop Shop” resource for starting a New York State winery which includes many potentially helpful links and resources.

<https://smallfarms.cornell.edu/2016/07/05/one-stop-shop-starting-a-new-york-winery/>

2. The Cornell Maple Program offers guidance and assistance to NYS Maple Producers in all their ventures

<https://blogs.cornell.edu/cornellmaple/>

3. Cornell Food Science and Viticulture offer a few options for research and outreach including a sensory evaluation center for testing new products

<https://foodscience.cals.cornell.edu/extension/sensory-analysis/>, the Viticulture and Enology extension program

<https://grapesandwine.cals.cornell.edu/extension/>, and the NYS Wine Analytical Laboratory and Wine Databank

<https://grapesandwine.cals.cornell.edu/extension/new-york-state-wine-analytical-laboratory/>

4. Cornell Alumni Contacts

- a. Zach Waltz ztw4@cornell.edu

- b. Bruce Stebbins bruceb585@gmail.com

- c. Richard Yi yir321@gmail.com

## **2. Licensing Process**

### **a. NY State Farm Winery License**

- i. NYS farm wineries wishing to produce greater than 50 gallons but less than 250,000 gallons may qualify to register as a Farm Winery. Applications may be processed through the NYS Liquor Authority website linked below. The aforementioned link also includes an application wizard to help determine which license is appropriate for your operation.



- ii. NYS Alcoholic Beverage Manufacturing Licenses\_  
[https://www.businessexpress.ny.gov/app/answers/cms/a\\_id/2027/kw/Alcoholic%20Beverage%20Manufacturer%20License](https://www.businessexpress.ny.gov/app/answers/cms/a_id/2027/kw/Alcoholic%20Beverage%20Manufacturer%20License)
- iii. Sample Summary from the Application Wizard including cost of registration, application forms, and instructions for application can be found in Appendix B.

**b. TTB Applications**

- i. Any company wishing to produce and sell wine in the United States must register with the Alcohol and Tobacco Tax and Trade Bureau. Information found at the TTB website linked in section 1.b.ii explains how to register with the TTB and provides information for online and by-mail application forms. The link below redirects to the digital permit application.
  - 1. Alcohol and Tobacco Tax and Trade Bureau Online Permit Application <https://www.ttb.gov/ponl/permits-online.shtml>
  - 2. A checklist of basic requirements and application forms can be found in Appendix B.

**c. FDA Application as a Food Production Facility**

- i. For establishments who do not qualify for the Retail Food Establishment or other exemption, a biennial registration with the FDA may be required. A link to the FDA website for Food Facility Registration is linked below and includes a quick fact sheet regarding registration and exemptions for your reference.
  - 1. FDA Registration for Food Facilities\_  
<https://www.fda.gov/food/guidanceregulation/foodfacilityregistration/default.htm>
- ii. Many NY State Maple Syrup facilities may qualify for the Retail Food Establishment Exemption defined in 21 CFR 1.227. A flowchart to determine exemption status provided by the FDA can be found in Appendix B.

**1. Bottling and Selling Wine**

**a. Bottling and Labeling Requirements**

- i. When bottling and labeling, producers are responsible for accurate identification of product volume and alcohol content. During filling, bottles must be filled as nearly as possible to the amount shown on the label. For a standard bottle of wine at 750 mL, a variance of up to 2% by volume is allowed. There must be at least as many bottles overfilled as underfilled per lot. Specific information may be found at the link below.
  - 1. <https://www.govinfo.gov/content/pkg/CFR-2017-title27-vol1/xml/CFR-2017-title27-vol1-part24.xml>
- ii. Wine labels must be approved through the federal application process found at the TTB website linked below (1) and attached in Appendix B. The Brand label, located on the front of the bottle, shall include brand name, “Maple Wine” designation, and alcohol content. Labels must also include Bottler’s name and address, net content, sulfite declaration, and a

health warning statement. Additional information regarding wine labeling can be found at link (2).

1. Application for Label Approval <https://www.ttb.gov/forms/f510031.pdf>
2. TTB Wine Labeling Regulations <https://www.ttb.gov/wine/wine-labeling.shtml>

#### **b. Where and How to Sell**

- i. Many maple wine producers may choose to sell their product on premise like many other maple syrup products. In accordance with the New York Alcoholic Beverage Control Article 6 Section 76-A, wine producers acting under the Farm Winery License are authorized to sell their products from the licensed facility including offering tastings on premise. Wine tastings are a great way for customers to try your product and for you to share information about the production and creation of your unique product. For information regarding on-premise tasting of your product, review section 3c of the linked article from the New York State Senate.
  1. New York Alcoholic Beverage Control Article 6 Section 76-A <https://www.nysenate.gov/legislation/laws/ABC/76-A>
- ii. Taste of NY Stores are a great option to get your product marketed along other New York State products. Taste of New York features 71 locations across New York that aim to showcase the diverse offerings of New York agriculture. To share your offerings at a Taste of NY store, visit the link below.
  1. Taste of NY Participation Form <https://taste.ny.gov/form/taste-ny-participation-form>

## **2. Making the Wine**

### **a. Equipment Considerations**

- i. In order to transition your facilities into a wine production, you may consider acquiring some additional equipment to help with the process. A plastic, glass, or stainless steel fermentation vessel is a must have. For ideal fermentation, you should be able to control the temperature of your fermenting product either in a temperature controlled environment or in a temperature controlled jacketed vessel. Examples of fermentation vessels can be found in links (1) below. Wine production requires accurate volumetric measurement as well as final alcohol and sugar content measurement. For this, consider purchasing a refractometer and hydrometer, examples can be found in links (2) below. During the fermentation, you may find it useful to track Brix using a refractometer which you may already have from maple syrup production. Bottles and filling equipment may also be required, examples can be found in links (3). Finally, and most importantly, for safety and quality of your product, ensure all equipment and tools are properly cleaned and sterilized before use. Please pay special attention to the cleanliness of your production and

facilities, some sanitizing equipment that may be useful can be found in link (4).

1. Fermentation Vessels
  - a. <https://www.midwestsupplies.com/winemaking-equipment/fermentation-equipment>
  - b. <http://thevintnervault.com/category/74/Tanks-%26-Fermenters.html>
2. Refractometer, Hydrometer
  - a. <https://www.midwestsupplies.com/winemaking-equipment/measuring-testing>
  - b. <https://www.northernbrewer.com/products/brix-specific-gravity-refractometer-with-atc>
3. Bottling and Filling
  - a. <https://www.midwestsupplies.com/winemaking-equipment/wine-bottling>
  - b. <http://thevintnervault.com/category/23/Wine-Bottles-%26-Carboys.html>
  - c. <http://thevintnervault.com/category/510/Bottling-Equipment.html>
4. Sanitation Equipment
  - a. <https://www.midwestsupplies.com/winemaking-equipment/cleaning-sanitizing>

**b. Consumables**

- i. Based on trials conducted by the authors of this guidebook, additional yeast supplements are required for successful fermentation. GoFerm is a dried yeast nutrient that can be added during the rehydration of yeasts prior to fermentation to provide necessary nutrients for yeast and ensure survival during fermentation. A link to GoFerm has been linked below (1) although other providers offer various options for package size that may be more appropriate for your operation. During fermentation, yeast may also require additional nitrogen in the form of yeast assimilable nitrogen (YAN) which can be found under the commercial name, Fermaid K (link 2). Instructions for addition of both supplements are described in the sample recipe found in Appendix A of this guide.
  1. GoFerm <https://scottlab.com/goferm-goferm>
  2. Fermaid K (YAN) <https://scottlab.com/fermentation-cellar/nutrients/fermaid-k-fermk>
- ii. In addition to nutrient supplements for the yeast, maple wine production requires the addition of acid for a balanced flavor. We suggest tartaric addition in the example recipe but you may want to experiment with other acid additions. In the links below, please find common acids used in wine making. Keep in mind, these acids are suggested for use in grape wine and may not present desired flavors in a maple syrup-based wine.
  1. Tartaric Acid <https://www.midwestsupplies.com/tartaric-acid>
  2. Citric Acid <https://www.midwestsupplies.com/citric-acid>

3. Acid Blend <https://www.midwestsupplies.com/acid-blend>
- iii. Our team experimented with 5 different yeast strains and determined that strain V1116 fermentation resulted in the most desired flavor and aromatic qualities that exemplify the maple syrup. Results of our initial yeast strain trials are detailed in Appendix A following the sample recipe. Depending on your preferences, a different strain may be best for you. Consider yeast strains ideal for ice wines, champagnes, and mead. All yeast strains cited in this guide are commercially available for purchase.
- iv. Fining agents may be used to clarify, soften, or adjust the color of your wine if desired. Bentonite was found to be most successful in our trials but you may wish to experiment with isinglass, casein, or carbon based on your preferences. Below is linked a guide to different fining agents published by the Australian Wine Research Institute that might be useful in your research.
  1. [https://www.awri.com.au/industry\\_support/winemaking\\_resources/frequently\\_asked\\_questions/fining\\_agents/#purpose](https://www.awri.com.au/industry_support/winemaking_resources/frequently_asked_questions/fining_agents/#purpose)

## **Appendix**

### **A. Formulation Recommendations**

- a. Sample Recipe
  - i. 5 Gallons 2:3 dilution maple syrup to water
  - ii. 5 g/L (20 g/Gal) Tartaric Acid, to pH 3.25
  - iii. 300 mg/L (1,200 mg/gal) Fermaid K
  - iv. Strain V1116 yeast, rehydrated in GoFerm
  - v. Potassium Metabisulfite
  - vi. Bentonite
  - vii. 1 ppm BSG Liquid Oak Tannin Vanilla
- b. 5 gallons of maple syrup dilution made by a 2:3 dilution of syrup to water was treated with 5 g/L tartaric acid to a pH of 3.25 and inoculated with V1116 yeast rehydrated in GoFerm. 150 mg/L Fermaid K was added at inoculation and another 150 mg/L at 1/3 fermentation completion (7 days). Fermentation should be monitored and kept between 70 and 85°F. At 85°F, our fermentation reached 0.97 °Brix in 21 days. At this point, the temperature was lowered to 40°F and 60ppm potassium metabisulfite was added to halt fermentation. Bentonite slurry was added and allowed to settle for 1 week before the product was racked off. A final addition of 1ppm BSG Liquid Oak Tannin Vanilla was added before the product was bottled.

c. Yeast Flavor Profile Notes From Initial Fermentation Trials

Yeast Strain	Dilution Ratio, °Brix	°Brix Final	Flavor Notes
V1116	1:2, 28	-1	Yeasty, buttery, nutty, bready, caramel, tart
V1116	1:1, 40	17.8	Caramel apple, orange rind, maple, vanilla, orange blossom, savory walnut
EC1118	1:2, 28	-1	Marshmallow, watery, sour apple
EC1118	1:1, 40	21.5	Citrus, lemon, bright, masks bitter, maple front and center
71B	1:2, 28	5	Thickness, less aromatic, sweet
71B	1:1, 40	21.9	Strong maple, syrupy
BA11	1:2, 28	0.7	Balanced, tart, maple forward
1CV-D254	1:2, 28	-0.3	Maple cream, sour, maple aroma, hot

d. Tannin Addition Notes

Addition	Yeast Strain, Dilution	Tasting Notes
1ppm BSG Liquid Oak Tannin FEN-PLUS	71B, 1:2	Slight oaky aftertaste, not a lot of astringency
0.5mL LUXE Onyx	EC1118, 1:2	Watery and astringent
200ppm Tanin Estate	V1116, 1:2	Good with a little bit of sugar
1ppm BSG Liquid Oak Tannin VANILLA	ICV-D254, 1:2	Good oaky vanilla, not much added to structure
0.1mL LUXE Royal	71B, 1:1	Sugar overpowers tannin
0.5mL LUXE Royal	EC1118, 1:1	Some astringency, not enough for the sugar
1ppm BSG Liquid Oak Tannin FEN-FRESH	V1116 1:1	Too sweet, slightly more complexity than LUXE Royal

## **B. Useful Application Documents**

Sample Summary Application Wizard NY Farm Winery	11
Sample Summary Application Wizard NY Micro Farm Winery	12
Instructions NY State Wine Production Facility	13
Application for NY State Wine Manufacturing	18
Minimum Requirements for TTB Application	35
TTB Application To Establish Wine Facility	36
TTB Application for Basic Permit	38
Wine Bond Application	41
FDA Food Establishment Exemption Flowchart	44
TTB Bottling and Labeling Approval	45

# Application Wizard Cover Page

Congratulations on completing your application wizard for a Manufacturing License with the New York State Liquor Authority.

Based on your answers below, the type of license you are applying for is a Farm Winery/Special Farm Winery (FW 302)  
Note: Please be sure to submit the cover page along with your application to the NYS Liquor Authority. The information on the cover page is used by the agency to help ensure timely and accurate processing. Failure to include the cover page in your submission may result in delays.

The fee(s) for this application includes:

Farm Winery/Special Farm Winery (FW 302) - Initial Application Fee \$375.00 + Ancillary Fee \$150.00 = Total Fee \$525.00  
Total Fee due = \$525.00

*Attention - Additional fees for fingerprinting services may be required.*

Are you interested in applying for a combined craft license?	<input type="radio"/> Yes	<input checked="" type="radio"/> No
What type of alcohol will you manufacture?	<input type="checkbox"/> Liquor	
	<input checked="" type="checkbox"/> Wine	
	<input type="checkbox"/> Beer	
	<input type="checkbox"/> Cider	
	<input type="checkbox"/> Mead/Braggot	
Will you operate a facility for individuals to rent space, equipment and storage for the manufacture of wine for personal household consumption?	<input type="radio"/> Yes	<input checked="" type="radio"/> No
Are you located on a farm?	<input checked="" type="radio"/> Yes	<input type="radio"/> No
Will you manufacture 250,000 gallons or less of wine and/or cider annually made exclusively from NYS grown agricultural products?	<input checked="" type="radio"/> Yes	<input type="radio"/> No
Do you currently hold a manufacturing license(s) at the location you intend to license?	<input type="radio"/> Yes	<input checked="" type="radio"/> No

# Application Wizard Cover Page

Congratulations on completing your application wizard for a Manufacturing License with the New York State Liquor Authority.

Based on your answers below, the type of license you are applying for is a Micro Farm Winery (MW 307)

Note: Please be sure to submit the cover page along with your application to the NYS Liquor Authority. The information on the cover page is used by the agency to help ensure timely and accurate processing. Failure to include the cover page in your submission may result in delays.

The fee(s) for this application includes:

Micro Farm Winery (MW 307) - Initial Application Fee \$150.00 + Ancillary Fee \$60.00 = Total Fee \$210.00

Total Fee due = \$210.00

*Attention - Additional fees for fingerprinting services may be required.*

Are you interested in applying for a combined craft license?

☐ Yes ☒ No

What type of alcohol will you manufacture?

☐ Liquor  
☒ Wine  
☐ Beer  
☐ Cider  
☐ Mead/Braggot

Will you operate a facility for individuals to rent space, equipment and storage for the manufacture of wine for personal household consumption?

☐ Yes ☒ No

Are you located on a farm?

☒ Yes ☐ No

Do you currently hold a manufacturing license(s) at the location you intend to license?

☐ Yes ☒ No



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**INSTRUCTIONS FOR MANUFACTURER LICENSE(S)**


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**Mail the application to:  
New York State Liquor Authority  
Church Street Station  
P.O. Box 3817  
New York, NY 10008-3817**

**Applications may not be handwritten.  
Applications are provided through New York Business Express ("NYBE") as fillable forms.  
Print a completed copy of the application for submission to the Authority.  
Save a completed copy of the application to retain for your records.**

These instructions will assist you in filling out a complete application, resulting in quicker review and determination. Incomplete applications may be disapproved. You must present a clear explanation of what you intend to do and how you will accomplish this. Drawing your diagrams and reviewing your photographs will assist you in filling out a complete application. Please ensure you answer every question and submit all documentation required to support your application.

**STATUTORY DISQUALIFICATIONS**

**The following are Statutory Disqualifications to holding an alcoholic beverage wholesale, importer or manufacturing license under the ABC Law:**

- 1. Under the age of 21;**
- 2. Not a U.S. citizen or alien admitted to the U.S. for permanent lawful residence;**
- 3. Convicted of any felony, promoting or permitting prostitution, sale of liquor without an alcoholic beverage license;**
- 4. Police officers/police officials;**
- 5. A person whose liquor license was revoked; or**
- 6. A person who holds a retail license.**

**If any apply to you, identify and explain in an attached statement.**

**LICENSE APPLICATION****LINE 1****NAME OF APPLICANT**

- Enter sole proprietor's full name.
- If a partnership, enter full name of each partner.
- If a corporation, enter the corporate name.
- If a limited liability company or limited partnership, enter the company name.

**TRADE NAME**

- Enter your DBA – "Doing Business As" name. You must enter a trade name if you are to be known by any name other than what is listed in "applicant name." This is the name that your business is known by, i.e. the name that appears on your building.

- This must match the DBA listed on your Assumed Name Filing Receipt or Business Certificate

**PREMISES STREET ADDRESS**

- Enter the full address and county of the premises you are seeking to license (911 street address where applicable).

**TELEPHONE NUMBER OF PREMISES**

- Enter the telephone number of the premises or a telephone number where we can contact you, the applicant. Do not enter your attorney or representative's telephone number on this line.

**MAILING ADDRESS**

- List the address where you wish to have all correspondence regarding the alcoholic beverage license to be mailed, such as Renewal Advisories or Certificates, if the premises address cannot receive mail or if you prefer to have the mail delivered elsewhere.

**E-MAIL ADDRESS**

- Required: Enter the e-mail address of the premises or an e-mail address where we can contact you, the applicant. Do not enter your attorney or representative's telephone number on this line.
- Enter business website address.

**LINE 2****ATTORNEY/REPRESENTATIVE/CONTACT**

- Enter the name, address, telephone number and email of the attorney, representative or contact person for the completion, filing and handling of this application.

**Notices of incomplete applications will be emailed to the applicant, and to the attorney or representative, if applicable. As the applicant, you are responsible for the information provided in the application.**

### **LINE 3**

#### **FEDERAL TAX ID#**

- If applying as a sole proprietor, enter your Social Security Number. All others list the Federal Employer's Identification Number. This is obtained from the Internal Revenue Service. If applied for and pending, so indicate.

### **LINE 4**

- Applicants who will have retail privileges with the manufacturers license are required to obtain a Certificate of Authority to Collect Sales Tax from the NYS Department of Taxation & Finance. The permit number that appears on your certificate is to be reflected in the box provided.

### **LINE 5**

#### **SOLE PROPRIETOR OR PARTNERSHIP**

- Enter the name, residence address, social security number and date of birth of the applicant(s).
- List all partners and provide proof of citizenship or alien status, personal questionnaires, copy of photo identification, an original color photo (passport size) and fingerprints on all.
- If **10 or less partners**, list all. If **more than 10 partners**, see instructions for "more than 10" in Line 6 below.

### **LINE 6**

#### **CORPORATIONS, LIMITED LIABILITY COMPANIES (LLC) OR LIMITED LIABILITY PARTNERSHIP (LLP)**

- Enter names, residence address, social security number and date of birth of stockholders, officers, directors, (If LLC, members and managing members), if any, as follows:
  - If **10 or less shareholders**, list all stockholders, officers, directors, members and managers, if any, and provide personal questionnaires, proof of citizenship or alien status, copy of photo identification, original color photo (passport size) and fingerprints for all.
  - If **more than 10 shareholders**, list all shareholders owning 10% or more of any class of its shares, and provide personal questionnaires, proof of citizenship or alien status, copy of photo identification, original color photo and fingerprints for those individuals. List all officers, directors,

members and managers, if any, (and provide personal questionnaires, proof of citizenship or alien status, copy of photo identification, original color photo and fingerprints for all active in management of business. Provide listing including name, address, citizenship and any statutory disqualification for all others having any interest.

- For Publicly Traded Corporations, provide copy of annual report listing all officers, directors and financial statement.
- You may be required to provide an organizational chart should any corporations or LLCs hold an interest in the applicant entity.

### **RIGHT TO PREMISES**

- Check the appropriate box disclosing how you are in possession of the premises (own, lease, etc).
- If you own the premises you must supply a copy of the deed. If you have purchased the real property within the past year, you are required to provide documentation showing the source of the funds used for the purchase.
- If you are leasing the premises you must submit a signed copy of the lease or a letter of intent. The letter of intent must list the intended term and rent amount. The lease must run for the full term of the license or be renewable for at the least the full term.
- Answer all questions here regarding the lease arrangements. NOTE: The lease must state the exact location of the premises in the building.

### **OTHER INTERESTED PARTIES**

- List any person or entity that will share in a percentage of profits or losses of the business.

### **LANDLORD IDENTIFICATION**

- All applicants must have the owner of the property (landlord) complete this Section. (If you own the property, you must complete this section as landlord). All individuals or principals of the landlord corporation must be listed on this form.
- The landlord name must match the name listed on the deed to the premises and all lease agreements.
- If you own the property under a name other than the name you are applying for a license under, you are required to submit a lease between both entities.

### **FINANCIAL DISCLOSURE**

- List the amount of money spent (or intended to be spent) for each item on this page.
- If the real property has been purchased by the principals of the LLC or Corporation under a

different entity name, a separate Financial Disclosure form should be completed by that entity.

- Identify ALL sources of funds. This includes cash and borrowed funds: savings, checking, stock, business accounts, property, gifts or loans, etc.
- Provide bank statement(s) and other relevant financial documentation that show you have sufficient funds for this venture. If any finances have already been expended, provide statements to reflect you had the funds at that time.
- For personal bank accounts, provide an explanation for any deposits over \$10,000.
- Personal questionnaires are required for all lenders (excluding banking institutions), donors and all persons listed on bank accounts where funds will be withdrawn. The applicant must document the source of all funds invested in the proposed business.
- Loan agreements are required (even if the loan is between family members) for every loan showing the terms and default clauses.
- Donors and Lenders (other than banking institutions) must provide financial records that demonstrate the sources of funds provided.
- Submit any and all additional records, documents and/or affidavits that may assist you in explaining the financing, background and operation of your business. Attach additional sheets and explanations, if necessary. More information may be required if deemed necessary to process the application.

## PREMISES QUESTIONNAIRE

**HELPFUL HINT:** You may find it easier to prepare your diagram of the premises prior to completing this section. Seeing the layout of the premises may help you in answering the questions. Sample diagrams are provided at the end of each application.

- Answer ALL questions completely. Please do not answer “see attached” to any question. You must describe the premises to be licensed. Any incomplete answer **will delay** or prevent the processing of the application.
- You must indicate what floor(s) the licensed premises will be located on and answer all questions pertaining to the interior of the premises to be licensed including what each room in the premises to be licensed will be used for and access between floors.
- If there is interior access from the floor(s) you are licensing to any other floor(s) of the building (whether or not you are licensing those floor(s)), you **MUST** describe the means of access (i.e. stairs, elevator) and state what occupies the other floor(s) (i.e. apartments, offices, etc.). If you are using the basement or another floor(s) of the building to store

alcoholic beverages, that area must be included as part of the licensed premises. If there is no interior access to the storage area from the floor(s) you propose to license, you must file for a Warehouse Permit (this permit is available by filing online at <http://www.sla.ny.gov/online-permit-applications> ).

- **Manufacturer Application only:** Include all buildings you plan on using in the production or sale of your product. Provide a detailed description of the premises location and location of a restaurant on or adjacent to the premises, if applicable. You must apply for a separate license if you intend to operate a restaurant serving alcohol other than that made by NYS craft manufacturers.

## METHOD OF OPERATION

NYBE Application Wizard Cover Page provides the type of application you are submitting. Please be sure to include a copy of the Cover Page with your application.

- Answer ALL questions completely. The information provided in this section will be the method of operation you are approved for and will be binding.
- Provide a detailed statement explaining planned method of operation. See the Method of Operation form for a full description of what is required.
- If you have or will hire one or more employees (excluding the applicant principals) provide Workers’ Compensation/Disability Benefits Carrier Name and Policy Numbers. If applied for and pending, please indicate. You must have this coverage whether or not your employees are family members, unpaid volunteers, interns, leased or borrowed employees.
- Provide a Certificate of Attestation from New York State Workers' Compensation and/or Disability Benefits Insurance Coverage if you are not required to hold either of these policies.
- **Combined Craft Manufacturers License only.** If you are applying for two or more qualifying licenses for the same location, you must complete this application **and** provide a detailed method of operation for *each* additional craft license

**YOU MAY NOT EMPLOY ANYONE  
CONVICTED OF A FELONY UNLESS YOU  
HAVE THE PERMISSION OF THE  
AUTHORITY OR THE PERSON HAS  
RECEIVED A CERTIFICATE OF RELIEF  
FROM DISABILITIES**

## BULLETIN #254

- This Bulletin must be signed and dated. Applicants must comply with this Bulletin.

## PERSONAL QUESTIONNAIRE

This form must be completed in full by the following persons:

- All sole proprietors.
- Each partner in a partnership.
- For Corporations or Limited Liability Companies (LLC), see instructions for Line 6 of the application.
- Individual lenders and donors (state your relationship to the applicant).
- Co-signers of loans.
- Guarantors of leases.
- Trustees
- Spouses who assist in management of premises or who hold joint bank accounts with applicant.
- Anyone holding a joint account with an individual who will be providing funds for this venture, whether the applicant, a lender or donor.

**NOTE:** Additional information may be requested on any individual submitting a personal questionnaire if necessary to complete the review of the application. Each questionnaire must be signed and dated.

## APPLICANT'S STATEMENT

- Please read this section carefully. This section is an affirmation that you understand that you are bound by the answers and information you provide in the application.
- Applicant signatures required for: sole proprietors, each partner in a partnership and at least one authorized official of a corporation.

## NOTICE OF APPEARANCE

- Section 166 of the Executive Law requires a regulatory agency to maintain for public inspection a record of who appears before it for a fee as a third party (i.e. an attorney, an agent, a lobbyist or representative) on behalf of a person or organization subject to the regulatory jurisdiction of the agency.
- This form must be completed and submitted by **all** represented applicants.
- If you were assisted in the preparation and/or filing of the application, you must have the person you paid complete and submit the Notice of Appearance with the application.

## ELECTRONIC FINGERPRINTING

All applicants are required to be fingerprinted.

### PERSONS REQUIRED TO BE FINGERPRINTED:

- All sole proprietors.
- All partners in a Partnership and Limited Liability Partnership (LLP).

- For Corporations and Limited Liability Companies (LLC) see instructions for line 6.
- Each applicant principal that is required to be fingerprinted will be instructed to do so on the Application Receipt once the application is received by the Authority.
- Each applicant principal required to be fingerprinted must follow the fingerprinting instructions which are available on the Application Receipt or on our website, <http://www.sla.ny.gov/forms-quick-find>.

NOTE: Persons currently licensed by the State Liquor Authority do not have to be fingerprinted.

## THE FOLLOWING DOCUMENTS MUST BE SUBMITTED WITH THE APPLICATION:

### PENAL BOND (FORM L-9)

- Submit a penal bond if required, Form L-9, in the sum listed on the NYBE Application Wizard Cover Page issued by any qualified surety company authorized to execute such bonds in the State of New York.
- Important: the bond must have the premises name and address typed **exactly** as it appears on the application.
- Altered or handwritten bonds are not acceptable (i.e.: whiteouts, type-overs).
- The expiration date on the bond **must indicate only the year of expiration of the license.**
- **The applicant must sign the bond.**

### CONTRACTS

- Submit a copy of the contract of sale or purchase of business/stock, etc. The name of the person/entity listed as purchaser on the contract of sale must be the name of the applicant as it appears on the Application for Alcoholic Beverage Control License.

### PHOTOGRAPHS

- Must be at least 5" x 7"
- **Interior Photographs** – show the interior of premises.
- **Exterior Photographs** – Show the front of premises, structure or proposed site.
- **Photos are required at the time your application is filed.** Additional photos may be required if renovations or construction is not completed at the time of filing.
- All hard copy photographs submitted **MUST BE ENDORSED** on the reverse side with the name and address of the applicant and the date when the photographs were taken.

### DIAGRAMS

**All diagrams must be submitted on 8 ½" x 11" paper AND MUST BE CLEARLY MARKED. See examples at end of each application.**

Interior Diagram:

- Diagram or sketch of the interior with dimensions. Include ALL floors, one diagram per floor, that will be part of the licensed premises (including any outside areas, the basement or any other floor being used for the storage of alcoholic beverages or office space where books and records are maintained).

- Label all rooms, If the premises is in a multi-unit or multi-story building, diagram must also state and show where the premises is located in the building.
- Show all entrances and exits, sanitary facilities, production areas, tasting rooms, display windows or other openings, counters, closets, shelves and storage areas.

**IMPORTANT: All submissions, including photographs and diagrams, must have the name and address of the applicant's premises.**

### CORPORATE FILING RECEIPT OR ASSUMED NAME FILING RECEIPT

- If applying as a Corporation, LLC or LP you must submit the Corporate Filing Receipt issued by the NYS Department of State showing proof of incorporation.
- If you have a trade name (DBA) you must submit an Assumed Name Filing Receipt issued by the NYS Department of State.
- Sole proprietors and partnerships must provide a copy of their Business Certificate from the county clerk's office including the trade name they will be doing business under.

### FEDERAL BASIC PERMIT

- Federal Permits are required from the U.S. Department of the Treasury, Alcohol and Tobacco Tax and Trade Bureau (TTB) for all manufacturing licenses except for Brewers.
- Brewers must submit a copy of their Brewer's Notice.

### PROOF OF CITIZENSHIP

- All applicant principals must submit proof of citizenship.
- Proof of US citizenship can be in the form of a copy of a US Passport or a birth certificate.
- Permanent Resident cards or visas may also be used to fulfill this requirement.

### PHOTO IDENTIFICATION

- All principals must submit a copy of a current photo ID. This can be in the form of a driver's license or a passport.

## APPLICATION FOR ALCOHOLIC BEVERAGE CONTROL MANUFACTURER LICENSE(S)

### FILING CHECKLIST

This application is to be used by applicants seeking a license to manufacture and sell alcohol at wholesale; or a license for a custom beer, cider and/or wine manufacturing center(s)

### **APPLICANTS SHOULD KEEP A COPY OF THIS APPLICATION AND THE SUPPORTING DOCUMENTS FOR THEIR RECORDS.**

This checklist has been created to better assist you with the application process. All items on the checklist must be complete and accurate. If all items in the checklist are not submitted, the application may be disapproved for Failure to Comply.

### **Applicants MUST submit the following sections of the license application when filing the application:**

- |  |  |
|--|--|
| <input type="checkbox"/> Application (pages 2-3) | <input type="checkbox"/> Bulletin #254 (signed and dated)  |
| <input type="checkbox"/> Right to Premises       | <input type="checkbox"/> Personal Questionnaire (for each Principal, Lender, Donor, Joint Account Holder, etc. - signed and dated) |
| <input type="checkbox"/> Landlord Identification | <input type="checkbox"/> Notice of Appearance (if represented by someone other than the applicant principals)                      |
| <input type="checkbox"/> Financial Disclosure    | <input type="checkbox"/> Applicant's Statement (signed and dated)  |
| <input type="checkbox"/> Premises Questionnaire  |  |
| <input type="checkbox"/> Method of Operation     |  |

### **Applicants MUST submit the following Supporting Documents when filing the application:**

- ☐ Bond, Form L-9 (if required) signed by the applicant and expiring at the end of the initial licensing term (refer to the Manufacturer Fee Chart for the bond amount required)
- ☐ Financial Records showing the source and availability of funds to be used for the venture
- ☐ Lease/Deed/Contracts/Alternating Proprietorship Agreements (you must demonstrate rights to the premises spanning the full license period)
- ☐ Premises Diagrams (see Diagram instructions and Examples at the end of this application.)
- ☐ Photo Identification for all applicant Principals (copies only)
- ☐ Photos of the proposed premises (exterior and interior)
- ☐ Photos of applicant principals
- ☐ Proof of Country of Citizenship for all applicant principals NOT currently licensed with the NYS Liquor Authority (e.g., copy of Birth Certificate, US Passport, Certificate of Naturalization, Permanent Resident Card)
- ☐ Holding Corporation Stipulation (if the applicant company is owned or partially owned by another legal entity)
- ☐ Application and filing fee (refer to the Manufacturer Fee Chart)

### **Applicants MUST submit the following Supporting Documents before a license can be issued (Conditions of Approval):**

- |   |   |
|---|---|
| <input type="checkbox"/> NYS Department of State Corporate Filing Receipt or Business Certificate from County Clerk if Sole Proprietor or Partnership | <input type="checkbox"/> Photos of the premises showing it ready to open and operate  |
| <input type="checkbox"/> Assumed Name Filing Receipt (if DBA is used)   | <input type="checkbox"/> Certificate of Authority to Collect NYS Sales Tax (if the license type includes any retail privileges)                                   |
| <input type="checkbox"/> TTB Permit or Brewer's Notice showing the premises address and appropriate type of operation                                 | <input type="checkbox"/> Workers' Compensation & Disability Insurance Policy numbers AND carrier names OR a Certificate of Attestation of Exemption from coverage |

## **Notification of Social Security Number Collection and Usage**

This notice is intended for applicants and licensees and is made in compliance with 5 U.S.C. § 552a, and the Personal Privacy Protection Law (PPPL). The New York State Liquor Authority collects your Social Security Number (SSN) pursuant to ABCL § 110(1)(a)(i) for use in the performance of the Authority's duties and responsibilities for the following purposes: identification and conflict checking; license and permit application processing; renewal processing; authorized enforcement activity; reporting to a receiving agency or governmental entity where the disclosure is permitted by law, and where it is necessary for it to perform its duties and responsibilities. Social Security Numbers are also used as a unique numeric identifier and may be used for search purposes by employees within the agency.

The Social Security Number you provide will be utilized primarily for the purposes of identifying your eligibility as an applicant and to verify your identity. No person shall be denied the ability to apply for a license because of a failure to provide their Social Security Number in the application form. Please be advised that, although pursuant to 5 U.S.C. § 552a, disclosure in the application form is not mandatory, if you fail to provide the requested information, we may not be immediately able to verify your eligibility to hold the license for which you are applying, and you may be subject to alternative identity verification procedures before we can issue you a license.

State and Federal Law require that we protect Social Security Numbers from disclosure to unauthorized parties. Applicants and licensees are assigned license serial numbers which assist in protecting their identities. Please be advised that this agency shall not disclose any record which is contained in a system of records by any means of communication to any person, or to another agency, except pursuant to a written request by, or with the prior written consent of, the individual to whom the record pertains, unless disclosure of the record would be authorized pursuant to exceptions contained in relevant State or Federal statutes, including those exceptions enumerated under the PPPL, The Privacy Act of 1974 and the Social Security Act, or pursuant to a subpoena or other compulsory legal process, or a search warrant.

OFFICE USE ONLY		
<input type="radio"/> Original	<input type="radio"/> Amended	Date _____

# LICENSE

## APPLICATION FOR ALCOHOLIC BEVERAGE CONTROL MANUFACTURER LICENSE(S)

*It is not necessary to employ any person, agency or organization to assist you in filing this application. Beware of persons claiming to be able to assist you in securing action on your application. The payment of money or other thing of value for the use of influence, or promise of influence in obtaining a license is a violation of law and offenders will be prosecuted.*

### 1. APPLICANT

Name of Applicant:

(e.g., Sole Proprietor, Partnership, Corporation, LLC, LLP, LP, etc.)

Trade Name(DBA): (see instructions) \*\* must be provided if premises will be called by any name other than as listed in the "Name of Applicant"

Premises Street Address:

City:

, NY

Zip Code:

County:

Telephone Number of Premises (include area code):

Mailing Address (if different than above):

City:

State:

Zip Code:

E-mail address (required):

Business Website:

### 2. CONTACT (if different than applicant)

Name of Contact:

☐ Attorney

☐ Representative

☐ Contact Person

Office Address:

City:

State:

Zip Code:

Telephone Number of Office (include area code):

E-mail address (required):

### 4. Federal Tax ID #:

### 5. Certificate of Authority to Collect NYS Sales Tax:

(required if license allows for retail privileges)

#### [OFFICE USE ONLY]

DATE FILED:

SERIAL #:

Approved

Disapproved

License Board Member

Date



OFFICE USE ONLY		
<input type="radio"/> Original	<input type="radio"/> Amended	Date _____

### 6. TO BE FILLED IN ONLY BY SOLE PROPRIETOR OR PARTNERS (attach additional sheets if necessary)

Name of Individual/Partner	Residence	Social Security #:	Date of Birth
Name of Individual/Partner	Residence	Social Security #:	Date of Birth
Name of Individual/Partner	Residence	Social Security #:	Date of Birth
Name of Individual/Partner	Residence	Social Security #:	Date of Birth

### 7. TO BE FILLED IN ONLY BY CORPORATION OR LLC/LLP APPLICANTS (attach additional sheets if necessary)

Please list the names and address or Principals (Stockholders, Officers, Directors, LLC Members/Managers, LLP Partners)

Name of Principal	Residence	Social Security #:
Title	No. of Shares if Corporation OR % of ownership if LLC or Partnership	Date of Birth
Name of Principal	Residence	Social Security #:
Title	No. of Shares if Corporation OR % of ownership if LLC or Partnership	Date of Birth
Name of Principal	Residence	Social Security #:
Title	No. of Shares if Corporation OR % of ownership if LLC or Partnership	Date of Birth
Name of Principal	Residence	Social Security #:
Title	No. of Shares if Corporation OR % of ownership if LLC or Partnership	Date of Birth

Note:

**\*If 10 or less shareholders,** list all stockholders, officers, directors, LLC members and LLC managers, if any. Provide Personal Questionnaires, proof of citizenship, copy of photo identification, original photo and fingerprints for all.

**\*If more than 10 shareholders,** list all shareholders owning 10% or more of any class of its shares. Also, include any officers, directors, shareholders, LLC members, and LLC managers. Provide Personal Questionnaires, proof of citizenship, copy of photo identification, original photo and fingerprints for those individuals. Provide a listing of all other shareholders owning less than 10% interest.. Include their name, home address, social security number, date of birth, shares or percentage of ownership, title, citizenship and any statutory disqualifications.

**\*Not-For-Profit Corporations,** list all principal officers and any director/trustee who is compensated on the license. Trustees/ Directors who are not compensated do not need to submit personal questionnaires or fingerprints. However the applicant must submit a list with the name and address of each such individual along with a statement that each such individual is eligible to hold a license.

OFFICE USE ONLY		
<input type="radio"/> Original	<input type="radio"/> Amended	Date _____

## LANDLORD IDENTIFICATION INFORMATION

In order to obtain the most accurate information this form should be completed by the Landlord. This form must be completed and submitted regardless of whether the property owner is a third party landlord or the applicant.

1. Name of Landlord (*as it appears on lease and deed*):

2. Landlord Mailing Address

Street Address:

City:

State:

Zip Code:

3. Telephone Number of Landlord:

4. Landlord Principals (ALL landlord principals must be disclosed below.)

Name

Address (if different than Landlord's mailing address above)



Name

Address (if different than Landlord's mailing address above)



Name

Address (if different than Landlord's mailing address above)



Name

Address (if different than Landlord's mailing address above)



5. Are any persons listed on this Landlord Identification Form currently or previously licensed under the ABCLaw?

☐ Yes ☐ No

Serial Number

Licensee Name



Serial Number

Licensee Name



Serial Number

Licensee Name



6. Are any persons listed on this form police officers:

☐ Yes ☐ No

If yes, list names below:

Name

Name

7. List number of years real property has been owned or legally controlled by the landlord:

## FINANCIAL DISCLOSURE

Applicants must demonstrate the costs and the sources of funding for this venture. All investors must be disclosed. Personal Questionnaires must be submitted for all investors, joint account holders, donors or lenders (excluding banking institutions).

**The Total Investment (Total Cash plus the Total Borrowed) must equal or exceed the Total Expenses.**

### 1. EXPENSES (Actual or Estimated)

**1a.** Real Property (if purchased within the past year by the applicant or any of its principals):

**1b.** Purchase/Contract Price of Business (submit copy of contract):

**1c.** Renovations/Improvement Costs (e.g., furnishings, fixtures, etc.):

**1d.** Miscellaneous (any other expense related to this venture):

#### TOTAL EXPENSES

Total of lines 1a through 1d

### 2. CASH\*

\*Cash includes funds on hand that do not need to be repaid. For example, checking or savings accounts or gifted funds. Attach copies of bank statements or other financial documentation for **EACH** source of cash.

2a. Source of Funds

Personal Questionnaire attached

☐

Dollar Amount



2b. Source of Funds

Personal Questionnaire attached

☐

Dollar Amount



2c. Source of Funds

Personal Questionnaire attached

☐

Dollar Amount



#### TOTAL CASH

Total of All Cash Expended

### 3. BORROWED\*

\*Borrowed funds include funds that must be repaid. For example, loans, mortgages, lines of credit and promissory notes. Attach copies of agreements or other financial documentation for **EACH** source of borrowed monies.

3a. Source of Funds

Personal Questionnaire attached

☐

Dollar Amount



3b. Source of Funds

Personal Questionnaire attached

☐

Dollar Amount



3c. Source of Funds

Personal Questionnaire attached

☐

Dollar Amount



#### TOTAL BORROWED

Total of All Borrowed Funds

### 4. Have all investors been disclosed in this application?

☐ Yes ☐ No

#### TOTAL INVESTMENT

Total Cash plus Total Borrowed

*The following person(s) MAY NOT invest in a manufacturing license to traffic in alcoholic beverages: convicted felons, persons under the age of twenty-one (21), police officers and anyone with an interest in a retail license.*

## RIGHT TO PREMISES

### 1. RIGHT TO PREMISES

1a. By what right does the applicant have possession of the premises?

- ☐ Own   
 ☐ Lease   
 ☐ Sub-Lease   
 ☐ Binding contract to acquire real property   
 ☐ Written intent to lease  
☐ Alternating Proprietorship agreement  
☐ Other (explain):

**If leasing, the lease must run for the full term of the license period or at least be renewable to cover the full term. Month to month leases or month to month renewal terms are not acceptable.**

1b. Do the terms of the lease or other arrangement require the applicant to provide any consideration based on a percentage of the receipts of the business?    ☐ Yes    ☐ No

If YES, please list the section/page of the lease this information can be found:

### 2. OTHER INTERESTED PARTIES

Does or will anyone other than the applicant/principals share on a percentage basis or in any way in the receipts, losses or deficiencies of the business to any extent whatsoever?

☐ Yes    ☐ No

If YES, please state the names and addresses of such persons, the nature and percent of their share and date acquired.

Name	Address	Nature of interest	Date Acquired
<div style="border: 1px solid black; height: 25px;"></div>	<div style="border: 1px solid black; height: 25px;"></div>	<div style="border: 1px solid black; height: 25px;"></div>	<div style="border: 1px solid black; height: 25px;"></div>
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<input type="radio"/> Original	<input type="radio"/> Amended	Date _____

## PREMISES QUESTIONNAIRE

**1. Describe the area where the premises is to be located:** ☐ Residential ☐ Business ☐ Agricultural

**1a. State what the area is zoned for:**   
(e.g., Residential, Business, Mixed etc.)

### 2. Premises

a. Please provide a description of the premises to be licensed.  
Describe all building/structures that will be utilized in business operations including the number of floors in each.  
(e.g., 2 story free-standing barn on slab foundation, 2 acre farm with 2 story winery including a basement, etc.)

b. Has the building/premises been known by any other address? ☐ Yes ☐ No

If YES, please specify:

c. Has the premises to be licensed and/or any other floor in the building been previously licensed or are either currently licensed to traffic in alcoholic beverages? ☐ Yes ☐ No

d. What was the prior use of the premises to be licensed?

e. Does the proposed location of the business comply with all state and local regulations and zoning codes? ☐ Yes ☐ No

f. Is there interior access to any other floor(s) that will not be part of the licensed premises? ☐ Yes ☐ No

If YES, please list floor(s) and means of access to each floor  
(e.g., stairs, elevator, etc. - must be shown on diagram).  
List use of floor(s) (e.g., apartments, offices, etc.).

g. Does any other person have access to this area? ☐ Yes ☐ No

h. Where will the alcohol be stored? (applicants with an off site location for storage area may require a warehouse permit.)

i. If applying for a Farm Winery License, Special Farm Winery License or Micro Winery License, the premises **must be** located on a farm. In the box below, please provide a detailed description of the agricultural production that qualifies the premises as a farm.





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<input type="radio"/> Original	<input type="radio"/> Amended	Date _____

(Series 1953)  
Bulletin #254  
December 1, 1953

STATE OF NEW YORK  
LIQUOR AUTHORITY

TO: MANUFACTURERS/WHOLESALERS/IMPORTERS

SUBJECT: MINIMUM OFFICE REQUIREMENTS FOR OUT-OF-STATE WHOLESALERS  
AND LICENSEES OPERATING MORE THAN ONE WHOLESALE PREMISES  
WITHIN THE STATE OF NEW YORK.

Paragraph 4 of Bulletin #79, issued under date of January 30, 1942, is hereby rescinded. This paragraph dealt with the minimum office requirement for out-of-state wholesalers. These requirements are restated herein and amplified in order to include requirements for licensees operating more than one wholesaler premises within this state. New matter is underlined>.

Wholesale licensees having their principal offices in another state and wholesale licensees operating more than one licensed premise within the state are required to observe the same provisions of the law governing wholesalers as licensees operating one principal office within the state. Inquiries have been received from such licensees as to the proper method of operating the licensed premises in this state, particularly with respect to the books and records which are to be kept. For the information and guidance of wholesale licensees, the liquor authority has laid down the following minimum office requirements.

1. The licensed premises must be physically separated from any other premises.
2. No other business may be conducted on the licensed premises.
3. The premises must be in charge of any employee of the licensee, and open during regular business hours.
4. The books and records must be kept on the licensed premises, which shall show:
  - a. All purchases of alcoholic beverages made within or without the state by the New York licensee, together with the names, addresses and license numbers of the persons from whom the same were purchased. A separate record must be kept of all alcoholic beverages which a branch office receives from the main office which is licensed within the state.
  - b. All sales of alcoholic beverages made within the state, together with the names, addresses and license numbers of purchasers, including invoices and delivery receipts. A separate record must be kept of all shipments of alcoholic beverages made to the main office of the licensee which is licensed within the State of New York.
  - c. The receipt of all payments for alcoholic beverages sold within the state.
  - d. The names and addresses of all employees operating within the state, together with their salaries or commissions and permit numbers. Where the licensee operates more than one premise within the state and where complete records are maintained on a licensed premise within the state and available for inspections, duplicate records of these items are not required to be kept on the premises of the branch office.
  - e. All expenditures for the maintenance or operations of the New York licensed premises or branch office. Where the licensee operates more than one premise within the state and where complete records of expenditures for the maintenance or operation of all branch offices are maintained on a licensee premise within the state and available for inspection duplicate records of these items are not required on the premises of the branch offices.

All out-of-state wholesalers who are unable to keep the original records on the licensed premises in this state, must apply to the State Liquor Authority in writing for permission to keep duplicate records in place of the originals.

**I have read and will comply with Bulletin #254**

Signature of Authorized Principal

Date

## PERSONAL QUESTIONNAIRE

- a. All principals to the license application must complete this questionnaire in full.  
(e.g., lenders, donors, guarantors and managers must also complete this questionnaire.)  
b. If you are a **lender, donor or guarantor** you must state your relationship to the applicant.  
c. Make duplicate blank forms as necessary.  
d. Answer all questions below.  
e. Attach additional sheets if more space is needed.

**Name of Applicant**

**1. STATE OF IDENTIFICATION**

Print **YOUR** name

Date of Birth

Social Security Number

Residence Street Address

Gender

☐ Male    ☐ Female

City

State

Zip Code

Residence Telephone

Cellular Telephone

E-mail Address

U.S Citizen

☐ Yes    ☐ No

If NOT U.S. citizen - country of citizenship

Married

☐ Yes    ☐ No

If Married, Spouse Name

Spouse Social Security Number

**2. POSITION (or interest) you will hold (check each);**
☐ President

☐ Director

☐ Stockholder----->

Number of shares owned

☐ Vice President

☐ Manager

☐ LLC Member---->

Percentage of ownership

☐ Secretary

☐ Partner

☐ LLC Manager

☐ Treasurer

☐ General Partner

☐ Lender\*

☐ Chairman

☐ Limited Partner

☐ Donor\*

☐ Officer

☐ Sole Proprietor

☐ Guarantor\*

☐ ABC Officer

☐ Joint Account Holder

☐ Trustee

☐ Other (describe)

\*If Lender, Donor, or Guarantor please state your relationship to the applicant.



Print **YOUR** Name
**3. RESIDENCE HISTORY**

List your residence history for the past FIVE (5) years to the PRESENT DATE.

Address	From (mm/yyyy)	To (mm/yyyy)
Address	From (mm/yyyy)	To (mm/yyyy)
Address	From (mm/yyyy)	To (mm/yyyy)
Address	From (mm/yyyy)	To (mm/yyyy)

**4. EMPLOYMENT HISTORY**

List your employment history for the past FIVE (5) years to PRESENT DATE.

Also, list any employment history that shows experience in the alcohol industry.

Add additional sheets if necessary.

From (mm/yyyy) To (mm/yyyy) **Employer**

--	--	--

**Position****Employer Address**

--	--

**Type of Business**
From (mm/yyyy) To (mm/yyyy) **Employer**

--	--	--

**Position****Employer Address**

--	--

**Type of Business**
From (mm/yyyy) To (mm/yyyy) **Employer**

--	--	--

**Position****Employer Address**

--	--

**Type of Business**

Print **YOUR** Name
**5. LICENSE HISTORY / AFFILIATIONS**

5(a) If you are an applicant (e.g., proprietor, partner, stockholder, officer or director) or applicant's spouse, will you continue your present occupation or business?    ☐ Yes    ☐ No

5(b) Will you take an active part in the operation of the business to be licensed?    ☐ Yes    ☐ No

If YES, please explain the nature of activity and the hours you will devote to the business (hours, days, responsibilities):

5(c) Do you have any interest, direct or indirect, in any premises currently licensed by the Liquor Authority or business where any alcoholic beverage is manufactured transported or sold at wholesale or retail whether by stock ownership, interlocking directors, mortgage or lien on, or ownership of any real or personal property, or by any other means including loans?    ☐ Yes    ☐ No

If YES, please provide information below:

Business Name

Business Address

Type of Interest

Date Interest Began

License Serial Number

Business Name

Business Address

Type of Interest

Date Interest Began

License Serial Number

Business Name

Business Address

Type of Interest

Date Interest Began

License Serial Number

Print **YOUR** Name
**5. LICENSE HISTORY / AFFILIATIONS**

5(d) Other than as itemized in 5(c) above, have you ever applied in New York State or anywhere for a license or permit to traffic in alcoholic beverages, including any application as a partnership, limited partnership, limited liability entity or corporation in which you are/were a principal?

☐ Yes    ☐ No

If YES, please provide information below:

Name of Applicant

Address of Premises

Disposition

Date of Filing

License Serial Number

Name of Applicant

Address of Premises

Disposition

Date of Filing

License Serial Number

Name of Applicant

Address of Premises

Disposition

Date of Filing

License Serial Number

Name of Applicant

Address of Premises

Disposition

Date of Filing

License Serial Number

5(e) Has a license or permit listed above been REVOKED, CANCELLED or otherwise  
**Involuntarily Terminated?**

☐ Yes    ☐ No

If YES, please provide information below:

5(f) Are you a police commissioner or law enforcement / police officer?

☐ Yes    ☐ No

If YES, please provide details:

Print **YOUR** Name

**6. CONVICTION RECORD AND PENDING CRIMINAL CASES**

6(a) Have you or your spouse ever been convicted of a crime addressed by the provisions of Section 126 of the ABC Law (see instructions for statutory disqualifications) which would forbid a person to traffic in alcoholic beverages?

**YOU**    ☐ Yes ☐ No  
**SPOUSE**    ☐ Yes ☐ No

If YES, please provide details

6(b) Have you or your spouse ever been CONVICTED (including pleas of guilty or suspended sentences) of any felony, misdemeanor, driving while intoxicated (DWI), or driving while ability impaired (DWAI)?

**YOU**    ☐ Yes ☐ No  
**SPOUSE**    ☐ Yes ☐ No

***If the applicant answers YES, please attach a Certificate of Disposition by the court clerk for each case. If convicted of a felony, please submit a Certificate of Relief from Disabilities, if available. Please submit an Affidavit explaining all details.***

***If the Spouse answers YES to this question, please submit a Personal Questionnaire for the Spouse along with a Certificate of Disposition.***

6(c) If you have previously been approved for a license and had been convicted of any felony, misdemeanor or other type of offense except minor traffic infractions, were all convictions reported to the Authority?

**YOU**    ☐ Yes ☐ No  
            ☐ Not Applicable

***If NO, please attach a Certificate of Disposition by the court clerk for each case. If convicted of a felony, please submit a Certificate of Relief from Disabilities, if available. Please submit an affidavit explaining all details.***

**SPOUSE**    ☐ Yes ☐ No  
                  ☐ Not Applicable

6(d) Are there any ARRESTS, INDICTMENTS or SUMMONSES PENDING against you or your spouse - including driving while intoxicated or impaired?

**YOU**    ☐ Yes ☐ No  
**SPOUSE**    ☐ Yes ☐ No

***If YES, please provide a copy of the Accusatory Instrument.***

**7. Do you have any relationship with the current / previous licensee or any of the principals of the licensee?**

**YOU**    ☐ Yes ☐ No  
**SPOUSE**    ☐ Yes ☐ No

***If YES, please state exactly what the relationship is. (e.g., family member, friend, employer, etc.)***

**8. Signature:** \_\_\_\_\_

**Date:** \_\_\_\_\_

## APPLICANT STATEMENT

I, [print name] \_\_\_\_\_

(the ☐ sole proprietor, ☐ partner, ☐ corporate principal or, ☐ LLC/LLP member)

understand that the State Liquor Authority will rely on each and every answer in the application and accompanying documents in reaching its determination and state, under penalty of perjury, that all statements and representations therein are true to the best of my knowledge and belief; and

I state that the location and description of the premises to be licensed does not violate any requirement of the ABC law or other state or local ordinances; and

I understand that if any change occurs in the information provided to the Authority in the application, the licensee must notify the Authority by certified mail within 48 hours and if any change occurs after receipt of the license, the licensee must notify the Authority by certified mail within 10 days. I understand that failure to give such notice may result in disapproval of the application or revocation or non-renewal of any license for which this application is submitted; and

I understand that the licensee will be bound by the statements and representations made in the application, including, but not limited to the licensee's method of operation and the identity of persons with an ownership or financial interest in the licensed premises; and that all statements and representations made become conditions of the license; and

I understand that any physical alterations to, or changes to the size of the area used for the sale and consumption of alcoholic beverages, must be reported to the Authority and may require the approval of the Authority; and

I understand that the licensee must keep the Authority advised of any change in the mailing addresses of the licensee, the licensee's principals, and the licensee's landlord.

I understand that the licensee's failure to operate the licensed premises in accordance with the statements and representations made in the application may result in revocation of any license for which the application was submitted; and

I understand that any false statement or misrepresentation will constitute cause for disapproval of the application or revocation or non-renewal of any license for which this application is submitted.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

OFFICE USE ONLY		
<input type="radio"/> Original	<input type="radio"/> Amended	Date _____

## STATE OF NEW YORK

### NOTICE OF APPEARANCE

Section 166 of the Executive Law requires a regulatory agency to maintain for public inspection, a record of who appears before it, for a fee as a third party (e.g., an attorney, an agent, lobbyist\*, or representative) on behalf of a person or organization subject to the regulatory jurisdiction of the agency. This usually occurs when the third party's client is involved in an enforcement, formal permit, or application matter. *This form is subject to all the rules and regulations of the Freedom of Information Law. Information that is confidential as a matter of law need not be furnished.*

**Agency:** NYS Liquor Authority / Division of Alcoholic Beverage Control

**Date:**

**Division / Bureau:**

**1. Name of individual appearing:**

**Address:**

**Telephone:**

**E-mail:**

**2. Client represented:**

**Address:**

**Telephone:**

**3. Subject of appearance:**    ☐ **Regulatory / Enforcement**    ☐ **Lobbying**

**4. Acting in the capacity of:**    ☐ **Attorney**    ☐ **Lobbyist**    ☐ **Agent**    ☐ **Other (describe below)**

Description:

**5. Are you being compensated:**    ☐ **Yes**    **No**  
**If YES, Check FEE or SALARY:**    ☐ **FEE**    **SALARY**

**6. Signature of individual appearing:** \_\_\_\_\_

**7. Agency official (printed name):**

**Signature:** \_\_\_\_\_

\*A LOBBYIST is a person or organization, other than a New York State government employee acting in an official capacity, who appears for the purpose of influencing the adoption or rejection of proposed rules, regulations, rates, legislation, including the State budget or the specification or award of a State Procurement Contract. An "appearance" for lobbying purposes can be a personal visit, letter, telephone call, conversation at a meeting, or any other type of contact, but does not include "on the record" proceedings or hearings.

## ATTENTION APPLICANTS

Please note that your application will not be processed unless, at a minimum, the following forms are received. The forms are:

1. TTB F 5120.25 Application to Establish and Operate Wine Premises
2. TTB F 5100.24 Application for Basic Permit (Not required for storage only)
3. TTB F 5120.36 Wine Bond

If all three of these forms are not received your application package will be returned to you without action.

**Please be advised that you may not begin winery operations (production of wine) until you receive your approved permit/application from TTB. Any wine produced without a federal permit is subject to seizure or voluntary destruction.**

**DEPARTMENT OF THE TREASURY**  
**ALCOHOL AND TOBACCO TAX AND TRADE BUREAU (TTB)**  
**APPLICATION TO ESTABLISH AND OPERATE WINE PREMISES**

(See Instructions on next page)

1. SERIAL NUMBER

2. DATE

3. REGISTRY NUMBER *(Leave blank if new applicant)*

4. TO: DIRECTOR, NATIONAL REVENUE CENTER  
 ALCOHOL AND TOBACCO TAX AND TRADE BUREAU (TTB)  
 550 Main St., Suite 8002, Cincinnati, Ohio 45202-5215

5. APPLICATION IS MADE TO OPERATE (Check one only)

☐ BONDED WINERY      ☐ BONDED WINE CELLAR      ☐ TAX PAID WINE BOTTLING HOUSE

6. NAME AND PRINCIPAL BUSINESS ADDRESS OF APPLICANT  
 (Name and street, city, county, State, and ZIP Code)

7. ADDRESS (Address where wine operations will occur.)  
 (If different from address in Item 6)

PHONE #

EIN#

PHONE #

8. PURPOSE FOR WHICH FILED (Such as original establishment, trade name change, alteration of premises)

Original: ☐ New Premises or change in Proprietorship

☐ Alternating Proprietorship with: \_\_\_\_\_

Amended for: ☐ Change in Location      ☐ Change in Control (Date \_\_/\_\_/\_\_)

☐ Alternating Premises with: \_\_\_\_\_

☐ Change in information on application

☐ Other: Please Specify \_\_\_\_\_

☐ Change in Officers

☐ Change in Name of Proprietor or Trade Name

9. I am ☐ or am not ☐ required to furnish a bond under 27 CFR 24.146. I am not required to furnish a bond only if all of the following are true: I will withdraw wine for deferred payment of tax under 27 CFR 24.271, I was liable for not more than \$50,000 in wine taxes in the preceding calendar year, I reasonably expect to be liable for not more than \$50,000 in such taxes during the current calendar year, and I have no operations or withdrawals involving wine for industrial use.

10A. NUMBER OF PAGES ATTACHED TO THIS FORM ( ).

10A-1. PAGES FROM CURRENT APPROVED TTB F 5120.25 THAT REMAIN

PAGE NUMBERS

PAGE NUMBERS

10B. ORGANIZATIONAL DOCUMENTS SUBMITTED WITH THIS FORM  
 (List each document)

10B-1. ORGANIZATIONAL DOCUMENTS FILED WITH PRIOR  
 APPROVED TTB F 5120.25 (List each document)

10C. ORGANIZATIONAL DOCUMENTS FILED IN CONNECTION WITH ANOTHER ESTABLISHMENT BUT INCORPORATED IN THIS APPLICATION BY REFERENCE (List each document, and show the name or plant number under which filed)

NO WINE MAY BE PRODUCED OR UNTAXPAID WINE RECEIVED UNTIL THE PREMISES AND OPERATIONS ARE APPROVED BY THE DIRECTOR, NATIONAL REVENUE CENTER.

UNDER PENALTIES OF PERJURY, I DECLARE THAT I HAVE EXAMINED THIS APPLICATION AND, TO THE BEST OF MY KNOWLEDGE AND BELIEF, IT IS TRUE, CORRECT, AND COMPLETE.

11. SIGNATURE

12. TITLE

**FOR TTB USE ONLY**

APPLICATION IS

☐ APPROVED

☐ DISAPPROVED

EFFECTIVE DATE

SIGNATURE OF DIRECTOR, NATIONAL REVENUE CENTER

DATE



## GENERAL INSTRUCTIONS

1. Each person desiring to conduct the operations of a bonded wine cellar, a bonded winery, or a taxpaid wine bottling house must file this application, in duplicate, with the Director, National Revenue Center, Alcohol and Tobacco Tax and Trade Bureau (TTB), at the address in Item 4.
2. The application information required will be on letter-sized paper with each attached page identified with the name of the applicant, the serial number of the application and the number of the page.
3. The proprietor is responsible for keeping information of an approved application current and complete. When required by 27 CFR Part 24, the proprietor must submit an amended application with supplemental or replacement pages or other documents necessary to update the previously approved application. Replacement pages must be numbered to correspond to the pages being replaced.
4. If this application is for a taxpaid wine bottling house, you will not conduct spirits operations or need a bond, so paragraphs 6 and 7 of the specific instructions are not applicable.
5. Applications must be submitted in accordance with the instructions on this form and in 27 CFR Part 24. Incomplete applications will be returned to the applicant without action.

## SPECIFIC INSTRUCTIONS

Item 1. **SERIAL NUMBER.** Applications on this form must be serially numbered, commencing with serial number 1 for original establishment, and continuing in sequence for each subsequent application. Applications for a taxpaid wine bottling house will be filed separately and likewise begin with serial number 1.

Items 6 & 7. **NAME AND ADDRESS.** The address must be stated as explicitly as possible with a ZIP Code. If located in a city, the numbered street address and the name of the city will be given. If a rural address, give the name of the county and nearest post office, with the approximate distance and direction there from, including the name or number of the road or highway on which situated.

## ATTACHED STATEMENTS AND DOCUMENTS

1. **BUSINESS ORGANIZATION.** If a statement is already on file with TTB for another authorization, only reference that authorization by name, address, and registry number per 27 CFR 24.109(k). Attach a statement, if not already on file, showing the type of business organization (e.g., sole owner, partnership, corporation, limited liability company) and the persons having an interest in the business supported by the following:

For corporations or limited liability companies:

- (a) Charter or certificate of existence, incorporation, or organization,
- (b) Names and addresses of officers, directors, members and managers.
- (c) Certified extracts of minutes authorizing certain individuals to sign.
- (d) Statement showing the number of shares/ownership of each class of stock/ interest authorized and outstanding, and the voting rights of the respective owners or holders.
- (e) Statement of interest: Names and addresses of the 10 persons having the largest ownership or other interest and nature and amount of the stockholding or other interest of each, whether the interest appears in the name of the interested party or in the name of another party. The Director, National Revenue Center may request the names of interested persons if the applicant corporation or LLC is wholly owned or controlled by another corporation or LLC.

For partnerships:

True copies of articles or partnership agreement, if any, and of the certificate of partnership where required to be filed by local authority.

2. **WINE PREMISES.** Describe each tract of land comprising the wine premises. Description must be by directions and distances, in feet and inches, with sufficient particularity to enable ready examination of the boundary of the wine premises. Describe the means employed to afford security of the wine premises. Describe where and how any taxpaid wine will be stored on the premises and the means used to segregate and identify taxpaid wine from untaxpaid wine. Describe any alternating areas. Each wine premises building must be described as to size, construction, and use. Buildings not used for the wine operations must be described only as to size and use. If wine premises consists of a partial building, rooms or floors, each must be described separately. Means of ingress and egress from the wine premises to adjoining portions must be described.
  - (a) If operating a bonded winery or bonded wine cellar in a residential building, describe how the bonded premises are segregated from the residence and what direct access to the bonded premises is available.
  - (b) If in an alternating proprietorship arrangement, provide a copy of the alternation agreement showing that each proprietor will conduct independent operations.

3. **DISCLOSURE.** If this application is not for a bonded wine premises in which production operations will be conducted and, thus a Federal Alcohol Administration Act basic permit is not required, would you agree to the listing of your name in a TTB publication which may be distributed to the general public upon request? A "no" response will have no effect on the consideration of this application. Under 26 U.S.C. 6103, you have a legal right not to give this release.
4. **TRADE NAME.** List each trade name to be used in connection with the wine operations. If State or local law requires registration, certify that each trade name is registered. State the operating name if other than the name in Item 6. If a trade name is listed in any basic permit issued, such trade name is not required to be included in this application.
5. **SPIRITS OPERATIONS.** Describe any operation which will involve the use of spirits.
6. **BONDS AND PERMITS.** With respect to this application, list all basic permits and bonds (including those filed with this application) showing the name and the surety for each bond. Information related to bonds need not be provided if no bond is required under 27 CFR 24.146.
7. **VOLATILE FRUIT-FLAVOR CONCENTRATE OPERATIONS.** For volatile fruit-flavor concentrate producers, submit a step-by-step description of the production process, commencing with obtaining the juice through each step of the process to removal of the concentrate from the system. For production of high-proof concentrate (more than 24 percent alcohol), indicate any step in the process at which the spirits are potable. Include the maximum quantity in gallons of fruit must and volatile fruit-flavor concentrate produced in 24 hours; the maximum and minimum fold; and the maximum percent of alcohol in the concentrate for each kind of fruit used.
8. **OTHER OPERATIONS.** Describe any other operations not specifically authorized by Part 24 that are to be conducted on the wine premises. This must include a list of the premises and any major equipment used, and a statement as to the relationship, if any, of the operation to the wine operations. These other operations need not be restricted to alcohol-related businesses.

## PRIVACY ACT INFORMATION

The following information is provided pursuant to Section 3 of the Privacy Act of 1974 (5 U.S.C. 552a(e)(3)):

1. **AUTHORITY.** Solicitation of this information is made pursuant to 26 U.S.C. 5356. Disclosure of this information by the applicant is mandatory if the applicant wishes to obtain authorization for operating a bonded wine cellar, a bonded winery, or a taxpaid wine bottling house.
2. **PURPOSE.** To identify the applicant, to identify the nature, location, and the extent of the premises, the specific type or types of operations to be conducted on the premises, and to determine the eligibility of the applicant to register the wine premises.
3. **ROUTINE USES.** The information will be used by TTB to make determinations set forth in paragraph 2. In addition, the information may be disclosed to other Federal, State, foreign, and local law enforcement and regulatory agency personnel to verify information on the form where such disclosure is not prohibited by law. The information may further be disclosed to the Justice Department if it appears that the furnishing of false information may constitute a violation of Federal law. Finally, the information may be disclosed to members of the public in order to verify the information on the form where such disclosure is not prohibited by law.
4. **EFFECTS OF NOT SUPPLYING REQUESTED INFORMATION.** Failure to supply complete information will delay processing and may result in the denial of the application.

## PAPERWORK REDUCTION ACT NOTICE

This request is in accordance with the Paperwork Reduction Act of 1995. This information collection is used by TTB to determine if the applicant is eligible to receive a wine premises permit. The information is required to obtain a benefit.

The estimated average burden associated with this collection of information is 15 minutes per respondent or recordkeeper, depending on individual circumstances. Comments concerning the accuracy of this burden estimate and suggestions for reducing this burden should be addressed to Reports Management Officer, Regulations and Rulings Division, Alcohol and Tobacco Tax and Trade Bureau, 1310 G Street, NW., Box 12, Washington, DC 20005.

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

**DEPARTMENT OF THE TREASURY**  
**ALCOHOL AND TOBACCO TAX AND TRADE BUREAU (TTB)**

**APPLICATION FOR BASIC PERMIT UNDER THE FEDERAL ALCOHOL ADMINISTRATION ACT**

1. FULL NAME AND PREMISES ADDRESS   TELEPHONE NUMBER (_____) _____ State in which organized for Corporations and Limited Liability Companies (LLC): _____	3. EMPLOYER IDENTIFICATION NUMBER (EIN) <i>(Social Security number is not acceptable)</i>  4. OPERATING NAME (DBA), if any _____
2. MAILING ADDRESS <i>(If different from premises address)</i> _____	5. LABELING TRADE NAME(S), if any _____

6. BUSINESS(ES) TO BE CONDUCTED AT PREMISES ADDRESS *(Check applicable boxes)*

- |   |  |
|---|--|
| a. <input type="checkbox"/> DISTILLED SPIRITS PLANT <i>(BEVERAGE)</i><br><input type="checkbox"/> DISTILLING<br><input type="checkbox"/> WAREHOUSING AND BOTTLING DISTILLED SPIRITS<br><input type="checkbox"/> PROCESSING <i>(RECTIFYING)</i> DISTILLED SPIRITS AND WINE<br><br>b. <input type="checkbox"/> BONDED WINE PREMISES<br><input type="checkbox"/> PRODUCING AND BLENDING WINE<br><input type="checkbox"/> BLENDING WINE | c. <input type="checkbox"/> IMPORTING INTO THE UNITED STATES<br><input type="checkbox"/> DISTILLED SPIRITS<br><input type="checkbox"/> WINE<br><input type="checkbox"/> MALT BEVERAGES<br><br>d. <input type="checkbox"/> PURCHASING FOR RESALE AT WHOLESALE<br><input type="checkbox"/> DISTILLED SPIRITS<br><input type="checkbox"/> WINE<br><input type="checkbox"/> MALT BEVERAGES |
|---|--|

or while so engaged, sell, offer, or deliver for sale, contract to sell, or ship in interstate or foreign commerce the alcoholic beverages so distilled, produced, rectified, blended or bottled, warehoused and bottled, imported, or purchased for resale at wholesale.

7. REASON FOR THE APPLICATION (use date format MM/DD/YYYY)

- |  |   |
|--|---|
| a. <input type="checkbox"/> NEW BUSINESS<br>Anticipated start date _____<br><br>b. <input type="checkbox"/> CHANGE IN CONTROL <i>(Actual or legal)</i><br><input type="checkbox"/> Submit Basic Permit(s) with this application.<br>Date of Change _____ | c. <input type="checkbox"/> CHANGE IN OWNERSHIP<br>Date of Change _____<br>Name, address, and permit number(s) of predecessor _____ |
|--|---|

8. OWNER INFORMATION *(List sole owner, all general parties, LLC members/managers, corporate officers and directors, and shareholders with more than 10% voting stock. Each listed person must also furnish the information in Item 9.)*

NAME	TITLE	% VOTING/STOCK/INTEREST (If applicable)	INVESTMENT IN BUSINESS (Item 6)	SOURCE OF FUNDS INVESTED (savings, loans, gift, or specify other & financial institution name, city & state)

IF APPLICANT IS ACTUALLY OR LEGALLY CONTROLLED BY PERSONS OR BUSINESSES NOT IDENTIFIED ABOVE, PROVIDE ON A SEPARATE SHEET INFORMATION *(as specified f or Item 9)* FOR EACH PERSON OR BUSINESS AND STATE THE EXTENT AND MANNER OF THE CONTROL. BUSINESSES SHOULD INCLUDE THEIR EIN.

9. COMPLETE FOR EACH PERSON LISTED IN ITEM 8.

a. FULL GIVEN NAME _____	b. DATE AND PLACE OF BIRTH _____	c. SOCIAL SECURITY OR EMPLOYER IDENTIFICATION NUMBER _____
d. <input type="checkbox"/> MALE <input type="checkbox"/> FEMALE	e. OTHER NAMES USED <i>(Maiden name, nicknames, etc.)</i> _____	

a. FULL GIVEN NAME	b. DATE AND PLACE OF BIRTH	c. SOCIAL SECURITY OR EMPLOYER IDENTIFICATION NUMBER
d. <input type="checkbox"/> MALE <input type="checkbox"/> FEMALE e. OTHER NAMES USED <i>(Maiden name, nicknames, etc.)</i>		
a. FULL GIVEN NAME	b. DATE AND PLACE OF BIRTH	c. SOCIAL SECURITY OR EMPLOYER IDENTIFICATION NUMBER
d. <input type="checkbox"/> MALE <input type="checkbox"/> FEMALE e. OTHER NAMES USED <i>(Maiden name, nicknames, etc.)</i>		
a. FULL GIVEN NAME	b. DATE AND PLACE OF BIRTH	c. SOCIAL SECURITY OR EMPLOYER IDENTIFICATION NUMBER
d. <input type="checkbox"/> MALE <input type="checkbox"/> FEMALE e. OTHER NAMES USED <i>(Maiden name, nicknames, etc.)</i>		
a. FULL GIVEN NAME	b. DATE AND PLACE OF BIRTH	c. SOCIAL SECURITY OR EMPLOYER IDENTIFICATION NUMBER
d. <input type="checkbox"/> MALE <input type="checkbox"/> FEMALE e. OTHER NAMES USED <i>(Maiden name, nicknames, etc.)</i>		
10. HAS THE APPLICANT OR ANY PERSON LISTED FOR ITEMS 8 OR 9 EVER BEEN DENIED A PERMIT, LICENSE, OR OTHER AUTHORIZATION TO ENGAGE IN ANY BUSINESS TO MANUFACTURE, DISTRIBUTE, IMPORT, SELL, OR USE ALCOHOL PRODUCTS <i>(beverage or nonbeverage)</i> BY ANY GOVERNMENT AGENCY (Federal, State, local, or foreign) OR HAD SUCH PERMIT, LICENSE, OR OTHER AUTHORIZATION REVOKED, SUSPENDED, OR OTHERWISE TERMINATED? <input type="checkbox"/> YES. State details of each event on a separate sheet. <input type="checkbox"/> NO		
11. HAS THE APPLICANT OR ANY PERSON LISTED FOR ITEMS 8 OR 9 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. <input type="checkbox"/> YES. State details of each event on a separate sheet. <input type="checkbox"/> NO		
<b>TTB MAY REQUIRE additional information to process this application.</b> If you are applying for a basic permit to operate a distilled spirits plant or bonded wine premises, you must also file additional forms and information required under the Internal Revenue Code. <b>OPERATION WITHOUT A PERMIT.</b> Criminal and administrative actions may be taken against persons engaged in a business listed in Item 6 of this form if it is not conducted pursuant to an FAA Act basic permit.		
APPLICANT'S AFFIRMATION. Under penalties of perjury, I declare that I have examined this application, including accompanying statements, and to the best of my knowledge and belief, it is true, correct, and complete. The applicant must immediately notify the TTB official with whom this application is filed of any change in ownership, management, or control of the applicant <i>(in the case of a corporation, any change in the officers, directors, or persons holding 10 percent or more of the corporate stock)</i> . 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.		
12. APPLICANT'S SIGNATURE <i>(Sole owner, partner, corporate officer, LLC member or manager, or if designated agent, submit TTB F 5000.8)</i>	13. TITLE OF PERSON SIGNING	14. DATE
15. E-MAIL (INTERNET) ADDRESS <i>(optional)</i> :		

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## INSTRUCTIONS

1. GENERAL. You must file this application if you want a permit under the Federal Alcohol Administration Act (FAA Act) to engage in the business of:

- Producing or processing distilled spirits or wine includes for nonindustrial use.
- Importing into the United States, or wholesaling, alcoholic beverages.

Nonindustrial use of distilled spirits or wines includes all beverage purposes or uses in preparing foods or drinks. Wholesaling under the FAA Act means purchasing alcoholic beverages for resale at wholesale. The FAA Act defines alcoholic beverages as distilled spirits, wine, or malt beverages including any fermented cereal beverages which have an alcohol content of not less than 1/2 percent.

2. COMPLETING AND FILING THIS APPLICATION.

- Please type or print and complete all items.
- Write "not applicable" in any item requesting information that does not apply to your business.
- Items 8 through 11: If this information is on file with TTB, state "On file under (*name and TTB permit or registry number or type of pending application*) ."
- If you need additional room, use a separate sheet.
- If your producing or processing operations will be in Puerto Rico, contact the Director, Puerto Rico Operations, for additional requirements.
- Send this form in duplicate to the appropriate TTB (Alcohol and Tobacco Tax and Trade Bureau ) office.

Location of  
Business

Send to:  
TTB

PUERTO RICO

Ste. 310 Torre Chardon,  
350 Carlos Chardon Ave.  
San Juan, PR 00918-21244

787-766-5584

ALL OTHER STATES

550 Main Street, Suite 8002  
Cincinnati, OH 45202

1-877-882-3277

3. LABEL APPROVALS FOR BOTTLED ALCOHOLIC BEVERAGES. Bottlers, packagers, and importers should have TTB approved label certificates (TTB F 5100.31). A label approval is required to sell, ship, or deliver for sale or shipment, or to otherwise introduce in interstate or foreign commerce, alcoholic beverages. Also, a label approval allows importers to release specific imported alcoholic beverages from Customs' custody. For label approvals contact TTB, Advertising, Labeling and Formulation Division, Washington, DC 20220, phone (202-453-2250). TTB does not approve certificates until you have the appropriate FAA Act basic permit. You can submit draft labels (*for example, mockups*) to TTB for review before printing the labels. Trade name approval on your FAA Act basic permit does not constitute approval as a brand name for labeling purposes.
4. Alcohol Dealer Registration. If you are a retail or wholesale dealer and deal in beer, wine or distilled spirits, file TTB F 5630.5d, Alcohol Dealer Registration. **SPECIAL TAX FOR RETAIL AND WHOLESALE DEALERS HAS BEEN REPEALED, NO TAX PAYMENT DUE.** You do not file this form when your business only involves the importation or sale of fermented cereal beverages which have an alcoholic content of less than 1/2 percent or where your business is only in Puerto Rico.
5. EMPLOYER IDENTIFICATION NUMBER. You need to have this number for your business even if you do not have any employees. To obtain an EIN, file Form SS-4 with the Internal Revenue Service.

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## PRIVACY ACT INFORMATION

1. AUTHORITY. Solicitation of information on TTB F 5100.24 is made pursuant to 27 U.S.C. Section 204(c). Disclosure of this information by the applicant is mandatory if the applicant wishes to obtain a basic permit under the Federal Alcohol Administration Act.
2. PURPOSES. To identify the applicant, the location of the premises, and to determine the eligibility of the applicant to obtain a basic permit.
3. ROUTINE USES. The information will be used by TTB to make determinations set forth in paragraph 2 above. Where such disclosure is not prohibited, TTB officers may disclose this information to other Federal, State, foreign, and local law enforcement and regulatory agency personnel to verify information on the application, and for enforcement of the laws of such other agency. The information may be disclosed to the Justice Department if the application appears to be false or misleading. TTB officers may disclose the information to individuals to verify information on the application where such disclosure is not prohibited.
4. EFFECTS OF NOT SUPPLYING INFORMATION REQUESTED. TTB may delay or deny the issuance of the FAA Act basic permit where information is not complete or missing.
5. DISCLOSURE OF EMPLOYER IDENTIFICATION NUMBER AND SOCIAL SECURITY NUMBER. You do not have to supply these numbers. These numbers are used to identify an individual or business. If you do not supply the numbers, your application may be delayed.

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## PAPERWORK REDUCTION ACT NOTICE

This request is in accordance with the Paperwork Reduction of 1995. The information collection is used to determine the eligibility of the applicant to engage in certain operations, to determine the location and extent of operations, and to determine whether the operations will 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)).

The estimated average burden associated with this collection of information is 1 hour and 45 minutes per respondent depending on individual circumstances. Comments concerning the accuracy of this burden estimate and suggestions for reducing this burden should be addressed to Reports Management Officer, Regulations and Rulings Division, Alcohol and Tobacco Tax and Trade Bureau, 1310 G Street, NW., Box 12, Washington, DC 20005.

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

**DEPARTMENT OF THE TREASURY  
ALCOHOL AND TOBACCO TAX AND TRADE BUREAU (TTB)  
WINE BOND**

*(Submit duplicate originals. See additional instructions on page 3.)*

REGISTRY NUMBER

EFFECTIVE DATE

PRINCIPAL/OBLIGOR NAME AND PREMISES ADDRESS  
(Number, Street, City, State, ZIP Code)

PRINCIPAL/OBLIGOR MAILING ADDRESS  
(If different than Premises Address)

EIN:

BOND KIND (Select only one)

☐ ORIGINAL    ☐ STRENGTHENING    ☐ SUPERSEDING

BOND COVERAGE (Select applicable box(es))

☐ OPERATIONS \$ \_\_\_\_\_ ☐ DEFERRAL \$ \_\_\_\_\_ **TOTAL PENAL SUM\* \$ \_\_\_\_\_**

**\*(Total Penal Sum equals OPERATIONS plus DEFERRAL Coverage on this bond. Deposited collateral must also equal Total Penal Sum.)**

BOND CATEGORY (Select only one category (i.e. 'Surety,' 'Cash,' or 'Treasury Note/Bond') and complete corresponding items to right of selection.)

☐ SURETY: SURETY NAME \_\_\_\_\_ BOND NUMBER \_\_\_\_\_

☐ CASH: CHECK NUMBER(S) (i.e. personal check, cashier's check, money order, etc.) \_\_\_\_\_

☐ TREASURY NOTE/BOND\*\* TREASURY NOTE/BOND CUSIP NO. \_\_\_\_\_ TREASURY NOTE/BOND INTEREST RATE \_\_\_\_\_ %  
TREASURY NOTE/BOND MATURITY DATE \_\_\_\_\_ TREASURY NOTE/BOND ISSUE DATE \_\_\_\_\_

\*\* This bond is secured by the Treasury collateral (T-Note) described above or by a T-Note resulting from reinvestment of the full proceeds from the T-Note described above. T-Note collateral reinvestment automatically will occur upon maturity, unless the obligor notifies TTB in writing at least 45 days prior to the maturity date that the T-Note proceeds should not be reinvested and the obligor requests this bond be terminated.

Witness our hands and seals this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_. Signed, sealed, and delivered in the presence of --

**CORPORATIONS, PARTNERSHIPS, OR LLCs:**

State in which principal/obligor organized: \_\_\_\_\_

Impress principal/obligor's corporate or LLC seal or check the checkbox below.

☐ The corporation/LLC has no seal.

Impress  
Surety  
Seal

Principal/  
Obligor  
Seal

By signing this document you acknowledge and agree to the terms and conditions described on page 2 of this form.

SURETY NAME

SURETY REPRESENTATIVE SIGNATURE

SURETY REPRESENTATIVE PRINTED NAME AND TITLE

☐ Alterations made on this bond before and after execution were made with the consent of the Principal \_\_\_\_\_ and Surety \_\_\_\_\_ OR Obligor \_\_\_\_\_.

PRINCIPAL/OBLIGOR NAME

BY:

PRINCIPAL/OBLIGOR REPRESENTATIVE SIGNATURE

PRINCIPAL/OBLIGOR REPRESENTATIVE PRINTED NAME AND TITLE

SIGNATURE, WITNESS 1 (if no seal)

SIGNATURE, WITNESS 2 (if no seal)

**DIRECTOR, NATIONAL REVENUE CENTER APPROVAL:** ON BEHALF OF THE UNITED STATES, I APPROVE THE FOREGOING BOND WHICH HAS BEEN EXECUTED IN DUE FORM IN COMPLIANCE WITH THE APPLICABLE LAWS, REGULATIONS, AND INSTRUCTIONS.

SIGNATURE OF AUTHORIZED OFFICIAL, ALCOHOL AND TOBACCO TAX AND TRADE BUREAU

DATE APPROVED

**PURPOSE:** The above principal/obligor has filed an application to operate, or is operating, the bonded wine cellar or bonded winery specified.

**DEFINITIONS:** Definitions pertinent to this bond:

**PRINCIPAL.** The proprietor of the wine premises covered by a surety bond.

**OBLIGOR.** The proprietor of the wine premises covered by a collateral bond.

**COLLATERAL BOND.** A bond secured by tangible assets such as cash or United States Treasury Bond or Note.

**CONDITIONS:** The above principal/obligor and surety (sureties) are bound independently and jointly for payment to the United States in the above amount of lawful money of the United States. In this bond, the terms principal/obligor or surety include the heirs, executors, administrators, successors, and assigns of the principal/obligor or surety. Additional wine bond conditions are below. (If this bond covers only tax deferral, only the wine bond conditions in clauses 1, 2, and 3(a), and the Additional Wine Bond Conditions below will apply.)

**BULK WINE WITHDRAWN FROM CUSTOMS CUSTODY:**

This bond covers the tax, for which the principal/obligor must become liable, on all wine withdrawn from customs custody in bulk containers and transferred to internal revenue bond at a bonded wine premises.

**THE PRINCIPAL/OBLIGOR MUST:**

- (1) Comply with all requirements of law and regulations, now or hereafter in force, relating to the activities covered by this bond;
- (2) Pay all penalties incurred and fines imposed for violations of law or regulations, now or hereafter in force, relating to the activities covered by this bond;
- (3) Pay all taxes (including any penalties and interest in respect of failure to file a timely return or to pay such tax when due) on wine removed from bonded premises:

Provided, that up to \$500 of the operations coverage of a \$1,000 bond (\$1,000 operations coverage of a bond of \$2,000 or more) may be applied to taxes

- (4) Pay all taxes (including any penalties and interest) for which the principal/obligor may become liable with respect to the operation of the bonded wine premises, whether the transaction or operation on which liability is based occurred on or off the bonded wine premises, and on all wine, spirits, and volatile fruit-flavor concentrate, or any other commodity subject to tax under 26 U.S.C. Chapter 51, in transit to, or on the bonded wine premises;
- (5) Comply with all requirements now or hereafter in force, pertaining to all wine or wine spirits received at, removed from, or returned to the bonded premises free of tax;
- (6) With respect to wine withdrawn from the bonded wine premises without payment of tax as authorized by law (a) comply with all requirements of law and regulations,

now or hereafter in force relating thereto: and (b) as to the said wine or any part thereof withdrawn, for example, for exportation or for use on vessels or aircraft, or for transfer to a foreign-trade zone, or for transfer to a Customs Bonded Warehouse (CBW), and not exported, used or transferred, or otherwise lawfully disposed of or accounted for, pay the tax imposed thereon by law, now or hereafter in force, together with penalties and interest; and

- (7) As the proprietor of an adjacent wine vinegar plant, pay all taxes, now or hereafter in force (including any penalties or interest), for which the principal/obligor may become liable with respect to the operation of the wine vinegar plant, and all wine now or hereafter in transit or on the premises of the wine vinegar plant.

**ADDITIONAL WINE BOND CONDITIONS**

**CHANGE OF PREMISES:** All stipulations, covenants, and agreements of this bond will extend to and apply to any change in the business address of the wine premises, the extension or curtailment of the premises, including the buildings thereon, or any equipment or any other change which requires the principal/obligor to file a new or amended application or notice, except where the change constitutes a change in the proprietorship of the business, or in the location of the premises. Further, this bond will continue in effect whenever operation of the wine premises is resumed from time to time following suspension of operations by an alternating proprietor.

**TREASURY COLLATERAL BONDS:** If this bond is filed as a collateral bond secured by a Treasury Note or Bond in an approved Department of the Treasury holding account, this bond is secured by the Treasury collateral identified on the face of the bond and any Treasury collateral resulting from rollover of the previous Treasury collateral. The Treasury collateral identified in this bond will automatically roll over upon maturity unless the obligor notifies the National Revenue Center at least 45 days prior to maturity.

**DEFAULT:** If the Principal/Obligor of a surety bond fails to fulfill any of the terms or conditions of this bond, the United States may seek compensation and pursue its remedies independently from either the principal/obligor or surety, or jointly from both. The surety hereby waives any right or privilege it may have of requiring, upon notice, or otherwise, that the United States will first commence action, intervene in any action of any nature whatsoever already commenced, or otherwise exhaust its remedies against the principal/obligor.

The surety further waives any right it may otherwise have to notice if TTB enters into an installment payment agreement for taxes, penalties, and/or interest with the Principal. Installment agreements are within the terms and conditions of the bond and do not affect TTB's ability to pursue all available remedies against the surety under the bond.

If the Obligor of a collateral bond fails to fulfill any of the terms or conditions of this bond, the United States may apply any outstanding tax liability (including any penalties or interest) against the collateral deposited.

**EFFECTIVE DATE:** If accepted by the United States, the bond will be effective according to its terms on and after the date without notice to the obligors. If no effective date is inserted in the space provided, the date of execution will be the effective date of the bond.

## INSTRUCTIONS

1. File duplicate **original** bonds with the Director, National Revenue Center, Alcohol and Tobacco Tax and Trade Bureau, 550 Main St, Ste 8002, Cincinnati, OH 45202-5215.
2. The name, including the full given name, of each party to the bond will be given in the heading, and each party must sign the bond with such party's signature, or the bond may be executed in the party's name by an empowered attorney-in-fact.
  - a. In the case of a partnership, the partnership name, followed by the names of all its partners will be given in the heading. In executing the bond, the partnership name will be typed or written followed by the word "by" and the signatures of all partners, or the signature of any partner authorized to sign the bond for the firm, or the signature of an empowered attorney-in-fact. The name of the state in which the partnership is organized will be given in the space provided above the signature lines.
  - b. If the principal/obligor is an LLC, the LLC name will be given in the heading. In executing the bond, the LLC name will be typed or written followed by the word "By" and the signature and title of the managing member, any member authorized to sign the bond for the LLC, or an empowered attorney-in-fact. The name of the state in which the LLC is organized will be given in the space provided above the signature lines.
  - c. If the principal/obligor is a corporation, the heading will give the corporate name, the address of the principal business office, and the address of the premises. The name of the state in which the corporation is organized will be given in the space provided above the signature lines. The bond will be executed in the corporate name, immediately followed by the signature and title of the person authorized to act for the corporation.
3. If the bond is signed by an attorney-in-fact for the principal/obligor, or by one of the members of a partnership, LLC, or association, or by an officer or other person for a corporation, there will be filed with the bond the bond to execute it for the principal/obligor, unless an authorization has been previously filed with the Director, National Revenue Center, Alcohol and Tobacco Tax and Trade Bureau.
4. The signature for the surety will be attested under corporate seal. The signature for the principal/obligor, if a corporation or LLC, also will be attested by seal if the corporation or LLC has a seal. If the corporation or LLC has no seal, that fact will be noted. Each signature will be made in the presence of two persons (except where corporate or LLC seals are affixed), who must sign their names as witnesses.
5. A bond may be given with (a) corporate surety authorized to act as surety by the Secretary of the Treasury, (b) by the deposit of Government obligations. A Government obligation is defined in 31 U.S.C. 9301 as "a public debt obligation of the United States Government and an obligation whose principal and interest is unconditionally guaranteed by the Government." Such obligations include Treasury notes or Treasury bonds, or by cash in the form of a check or similar legal tender made payable to the Alcohol and Tobacco Tax and Trade Bureau for deposit in an approved Department of the Treasury holding account.

Contact the National Revenue Center toll free at 1-877-882-3277 regarding allowable types of collateral.
6. If any alteration or erasure is made in the bond before or after its execution, check the box next to the alteration statement on page 1 and make sure that the Principal and Surety or Sureties **OR** Obligor initial the statement.
7. The penal sum named in the bond will be in accordance with 27 CFR Part 24.
8. If the bond is approved, a copy will be returned to the principal/obligor.
9. All correspondence about the filing of this form or any subsequent action, including termination, affecting this bond should be directed to the Director, National Revenue Center, Alcohol and Tobacco Tax and Trade Bureau, 550 Main St, Ste 8002, Cincinnati, OH 45202-5215 or 1-877-882-3277 (toll free).

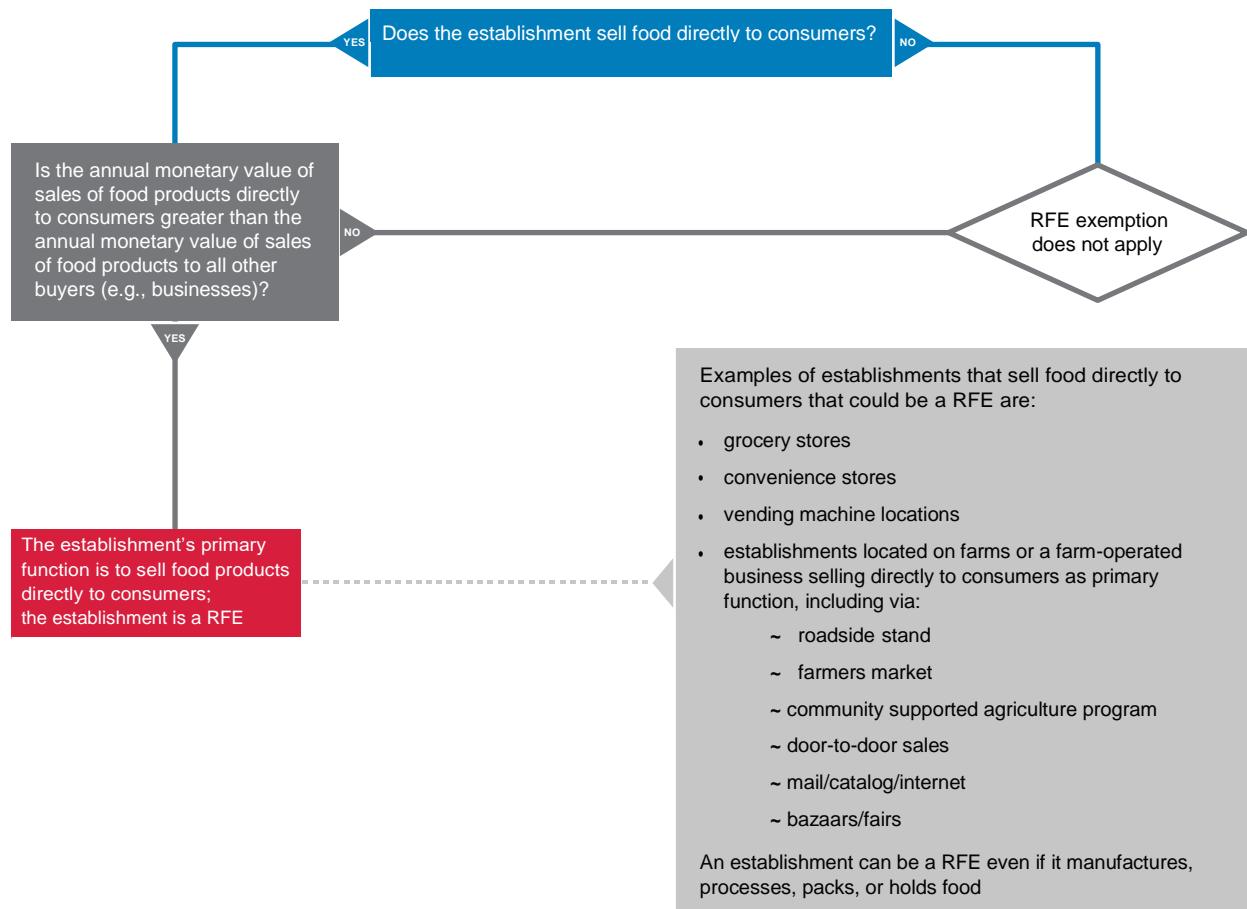
This request is in accordance with the Paperwork Reduction Act of 1995. The information is used by the proprietor, or the proprietor and a surety company, as a contract to ensure tax payment. The information requested is required to obtain a benefit and is mandatory by statute (26 U.S.C. 5172).

The estimated average burden associated with this collection of information is 1 hour per respondent or recordkeeper, depending on individual circumstances. Comments concerning the accuracy of this burden estimate and suggestions for reducing this burden should be addressed to the Reports Management Officer, Regulations and Rulings Division, Alcohol and Tobacco Tax and Trade Bureau, Washington, DC 20220.

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.

# Retail Food Establishment Exemption Flowchart

Facilities that manufacture/process, pack, or hold food for human or animal consumption in the United States must be registered unless the facility satisfies one of the exemptions in 21 CFR 1.226. One of the exemptions is for "retail food establishments" (RFEs), as defined in 21 CFR 1.227. This chart describes the definition for RFEs.



Retail food establishment means an establishment that sells food products directly to consumers as its primary function. The term "retail food establishment" includes facilities that manufacture, process, pack, or hold food if the establishment's primary function is to sell from that establishment food, including food that it manufactures, processes, packs, or holds, directly to consumers. A retail food establishment's primary function is to sell food directly to consumers if the annual monetary value of sales of food products directly to consumers exceeds the annual monetary value of sales of food products to all other buyers. The term "consumers" does not include businesses. A "retail food establishment" includes grocery stores, convenience stores, and vending machine locations. A "retail food establishment" also includes certain farm-operated businesses selling food directly to consumers as their primary function.

(1) Sale of food directly to consumers from an establishment located on a farm includes sales by that establishment directly to consumers:

- (i) At a roadside stand (a stand situated on the side of or near a road or thoroughfare at which a farmer sells food from his or her farm directly to consumers) or farmers' market (a location where one or more local farmers assemble to sell food from their farms directly to consumers);
- (ii) Through a community supported agriculture program. Community supported agriculture (CSA) program means a program under which a farmer or group of farmers grows food for a group of shareholders (or subscribers) who pledge to buy a portion of the farmer's crop(s) for that season. This includes CSA programs in which a group of farmers consolidate their crops at a central location for distribution to shareholders or subscribers; and
- (iii) At other such direct-to-consumer sales platforms, including door-to-door sales; mail, catalog and Internet order, including online farmers markets and online grocery delivery; religious or other organization bazaars; and State and local fairs.

(2) Sale of food directly to consumers by a farm-operated business includes the sale of food by that farm-operated business directly to consumers:

- (i) At a roadside stand (a stand situated on the side of or near a road or thoroughfare at which a farmer sells food from his or her farm directly to consumers) or farmers' market (a location where one or more local farmers assemble to sell food from their farms directly to consumers);
- (ii) Through a community supported agriculture program. Community supported agriculture (CSA) program means a program under which a farmer or group of farmers grows food for a group of shareholders (or subscribers) who pledge to buy a portion of the farmer's crop(s) for that season. This includes CSA programs in which a group of farmers consolidate their crops at a central location for distribution to shareholders or subscribers; and
- (iii) At other such direct-to-consumer sales platforms, including door-to-door sales; mail, catalog and Internet order, including online farmers markets and online grocery delivery; religious or other organization bazaars; and State and local fairs.

(3) For the purposes of this definition, "farm-operated business" means a business that is managed by one or more farms and conducts manufacturing/processing not on the farm(s).



FOR TTB USE ONLY									
TTB ID									
1. REP. ID. NO. (If any)				CT		OR			
2. PLANT REGISTRY/BASIC PERMIT/BREWER'S NO. (Required)				3. SOURCE OF PRODUCT (Required) <input type="checkbox"/> Domestic <input type="checkbox"/> Imported					
4. SERIAL NUMBER (Required)				5. TYPE OF PRODUCT (Required) <input type="checkbox"/> WINE <input type="checkbox"/> DISTILLED SPIRITS <input type="checkbox"/> MALT BEVERAGES					
YEAR									
6. BRAND NAME (Required)				8. NAME AND ADDRESS OF APPLICANT AS SHOWN ON PLANT REGISTRY, BASIC PERMIT, OR BREWER'S NOTICE. INCLUDE APPROVED DBA OR TRADENAME IF USED ON THE LABEL (Required)					
7. FANCIFUL NAME (If any)									
9. FORMULA				10. GRAPE VARIETAL(S) <i>Wine only</i>				14. TYPE OF APPLICATION (Check applicable box(es)) a. <input type="checkbox"/> CERTIFICATE OF LABEL APPROVAL b. <input type="checkbox"/> CERTIFICATE OF EXEMPTION FROM LABEL APPROVAL <i>"For sale in _____ only" (Fill in State abbreviation)</i> c. <input type="checkbox"/> DISTINCTIVE LIQUOR BOTTLE APPROVAL. TOTAL BOTTLE CAPACITY BEFORE CLOSURE <i>(Fill in amount)</i> d. <input type="checkbox"/> RESUBMISSION AFTER REJECTION TTB ID _____	
11. WINE APPELLATION (If on label)									
12. PHONE NUMBER				13. EMAIL ADDRESS					
15. SHOW ANY INFORMATION THAT IS BLOWN, BRANDED, OR EMBOSSED ON THE CONTAINER (e.g., <i>net contents</i> ) ONLY IF IT DOES NOT APPEAR ON THE LABELS AFFIXED BELOW. ALSO, SHOW TRANSLATIONS OF FOREIGN LANGUAGE TEXT APPEARING ON LABELS.									

PART II - APPLICANT'S CERTIFICATION		
Under the penalties of perjury, I declare: that all statements appearing on this application are true and correct to the best of my knowledge and belief; and, that the representations on the labels attached to this form, including supplemental documents, truly and correctly represent the content of the containers to which these labels will be applied. I also certify that I have read, understood, and complied with the conditions and instructions which are attached to an original TTB F 5100.31, Certificate/Exemption of Label/Bottle Approval. I consent to the return of processed applications in the manner indicated on this application and set forth in the applicable instructions.		
16. DATE OF APPLICATION	17. SIGNATURE OF APPLICANT OR AUTHORIZED AGENT	18. PRINT NAME OF APPLICANT OR AUTHORIZED AGENT

PART III - TTB CERTIFICATE	
This certificate is issued subject to applicable laws, regulations, and conditions as set forth in the instructions portion of this form.	
19. DATE ISSUED	20. AUTHORIZED SIGNATURE, ALCOHOL AND TOBACCO TAX AND TRADE BUREAU

FOR TTB USE ONLY	
QUALIFICATIONS	
EXPIRATION DATE (If any)	

AFFIX COMPLETE SET OF LABELS BELOW (See General Instructions 4 and 6)

I. PURPOSE OF THIS CERTIFICATE

This certificate authorizes you to bottle and remove the product identified on the certificate from the plant(s) identified on the certificate where it was bottled or packed, or to remove products in containers from Customs custody. NOTE: This certificate does not constitute trademark protection.

II. CONDITIONS OF THIS CERTIFICATE

- A. This certificate does not relieve you from liability for violations of the Federal Alcohol Administration Act, the Alcoholic Beverage Labeling Act of 1988, the Internal Revenue Code of 1986, or related regulations and rulings.
- B. You must ensure that: 1) all the information on your application is true and correct and 2) any and all information (including words, text, illustrations, graphics, etc.) shown or presented on the label(s) affixed to this certificate is truthful, accurate and not misleading.
- C. The Alcohol and Tobacco Tax and Trade Bureau (TTB) does not routinely review submitted labels for compliance with applicable requirements for mandatory label information regarding type size, characters per inch or contrasting background. You must ensure that the mandatory information on the actual labels is legible and displayed in the correct type size, number of characters per inch, and on a contrasting background in accordance with the TTB labeling regulations, 27 CFR parts 4, 5, 7, and 16, as applicable. TTB does reserve the right to review applications for compliance with these requirements and to return non-compliant applications.

III. INSTRUCTIONS FOR COMPLETING AND SUBMITTING THIS APPLICATION

NOTE: Applications may be filed electronically by accessing the TTB website at <https://www.ttbonline.gov/colasonline/>.

A. GENERAL INSTRUCTIONS

- 1. You must print or type your application and sign it in ink. Submit your application in duplicate to the ADVERTISING, LABELING AND FORMULATION DIVISION, ALCOHOL AND TOBACCO TAX AND TRADE BUREAU, 1310 G STREET NW., BOX 12, WASHINGTON, DC 20005. (paper filers only)
- 2. You may use exact copies of TTB F 5100.31 in lieu of an original form. Copies do not have to include the instruction page; however, you remain subject to all the provisions and instructions outlined on the form. We suggest that you use an original form whenever possible. See Section IV for how to obtain a supply of forms. (paper filers only)
- 3. Generally, the person, firm, or corporation who will bottle or pack the product must file the application. However, for a product to be imported in containers intended for sale at retail, the application must be filed by the importer. In the case of a product to be relabeled by a wholesaler, the application must be filed by the wholesaler.
- 4. You must firmly affix (with glue or tape - DO NOT STAPLE) all labels that will appear on the container. Printer's proofs and photocopies are acceptable. If labels are in the form of can flats, photocopies are requested. (paper filers only)
- 5. You may NOT make pen and ink changes, white out information, type over or cross out information, or paste information over labels affixed to this application. (Paper filers only)
- 6. You must reduce oversized labels so that they fit in the space provided. You must indicate in Item 19 that labels have been reduced and the percentage of reduction.

B. SPECIFIC INSTRUCTIONS

- ITEM 1. Include a third party representative ID Number if your application will be submitted by a third party representative, and if you consent to the disclosure of information about the application to this representative, as well as the return of the processed application to this representative. Third party filers who do not already have a Representative ID Number, please contact TTB to obtain one. (See section IV for contact information.)
- ITEM 2. For bonded wine cellars, taxpaid wine bottling houses, and distilled spirits plants, enter the applicable registry number (BW- or TPWBH- or DSP- number). Importers must enter the TTB basic permit number and brewers must enter the brewer's notice number. Wholesalers applying to relabel must enter the wholesaler's basic permit number. If you intend to bottle this product at more than one of your locations (distilled spirits and malt beverages only), show the registry number/brewer's notice number of each location where the product will be bottled. In this instance, Item 8 should reflect your principal place of business. You may also use Item 8a to reflect additional registry/brewer's notice numbers if the space provided in item 2 is insufficient. In this instance, cross out the words "Mailing Address, if different."
- ITEM 3. Indicate the source of the product by checking the appropriate box.
- ITEM 4. You must assign a sequential serial number beginning with the last two digits of the current calendar year to each application and its duplicate, not to exceed 6 characters; e.g., 12-1, 12-2, etc.
- ITEM 5. Indicate the type of product by checking the appropriate box. For Sake, check the "wine" box.
- ITEM 6. A brand name is the name under which the product is sold. If the product is not sold under a brand name, enter the name of the bottler, packer, or importer, as applicable.
- ITEM 7. A fanciful name is a name that further identifies the product and is required for some specialty products. It is optional for other products.
- ITEM 8. Indicate your company name and address exactly as they appear on your plant registry, basic permit, or brewer's notice (include your approved DBA or trade name if you use it on the label). In the case of distilled spirits and malt beverages that are bottled at more than one location indicate your principal place of business address in this field.
- ITEM 8a. You may enter a mailing address here if you receive mail at an address other than the address shown in Item 8.
- ITEM 9. The term "Formula" encompasses the following pre-COLA product evaluations: domestic beverage alcohol formulas, pre-import approval letters, lab analyses, and submissions formerly known as statements of process (SOPs). A formula is a quantitative list of ingredients and a step-by-step method of manufacture for alcohol beverages (wine, distilled spirits, and malt beverages) requiring approval from TTB prior to production or importation as set out in Industry Circular 2007-4. TTB's regulatory authority for such products may also be found in 27 CFR parts 4, 5, 7, 19, 24, 25, and 26. Please visit [http://www.ttb.gov/formulation/pre\\_cola.shtml](http://www.ttb.gov/formulation/pre_cola.shtml) for more information about when a formula is required. For any domestic or imported alcohol beverage product requiring formula approval, specify the TTB Formula ID/TTB ID number, or TTB lab number. A copy of the approved formula or pre-import approval letter must accompany this label application. If the formula approval was obtained electronically through Formulas Online, the system-generated TTB Formula ID number must be provided.
- ITEM 10. You must list in this block each grape varietal (if any) that appears on wine labels.
- ITEM 11. Fill in only if a wine appellation of origin is stated on the label.
- ITEM 12. Provide the phone number of the person responsible for the application.
- ITEM 13. You may provide the e-mail address of the person who should receive TTB's response to this application. TTB will process and return all paper applications to this e-mail address if one is provided.
- ITEM 14. You must check "a" OR "b." You must also check "c" if you intend to bottle distilled spirits in a distinctive container. You must check "d" and enter the TTB ID number as shown in the upper left hand corner of the rejected application if you are submitting an application that was previously rejected. If you check "b": 1) you may only sell this product in the State where it is bottled AND 2) the statement "For sale in \_\_\_\_\_ only" (using State abbreviation) must appear on each container. We do not issue certificates of exemption for products imported in bottles or for malt beverages.
- ITEM 15. The instructions for this item are on the front of the form.
- ITEM 16. Enter date application is prepared or submitted.
- ITEM 17. The applicant or authorized agent must sign in this block.
- ITEM 18. The signer's name must be printed in this block.

IV. CONTACT INFORMATION

**For Additional Information Contact:**

Advertising, Labeling and Formulation Division (ALFD)  
Alcohol and Tobacco Tax and Trade Bureau  
1310 G. Street, NW., Box 12  
Washington, DC 20005  
Phone (202) 453-2250 OR 1-866-927-2533 (Toll Free)  
E-mail address: [alfd@ttb.gov](mailto:alfd@ttb.gov)

**For A Supply Of This Form (TTB F 5100.31) Contact:**

The form may be ordered electronically by accessing the TTB Web site at [http://www.ttb.gov/forms/ordering\\_forms.shtml](http://www.ttb.gov/forms/ordering_forms.shtml)  
The form may be electronically accessed at the TTB Web site at <http://www.ttb.gov/forms/f510031.pdf>

V. ALLOWABLE REVISIONS TO APPROVED LABELS

Once a label receives TTB approval, you are permitted to make certain changes to that label without submitting it to TTB. The label(s) identified on and affixed to this certificate may be revised without resubmission as follows:

**NOTE:** Any revision(s) you make to your approved label(s) must be in compliance with the applicable regulations in 27 CFR parts 4, 5, 7, and 16, and any other applicable provision of law or regulation, including, but not limited to, the conditions set forth in the “Comments” below.

YOU MAY...	REVISION APPLIES TO			COMMENTS
	WINE	DISTILLED SPIRITS	MALT BEVERAGE	
1. Delete any non-mandatory label information, including text, illustrations, graphics, etc.	YES	YES	YES	If the non-mandatory information in question relates to other information that remains on the label, it is your responsibility to ensure that the remaining information is not misleading after the deletion.
2. Reposition any label information, including text, illustrations, graphics, etc.	YES	YES	YES	The repositioning must comply with any placement requirements applicable to mandatory information. For example, some types of mandatory information must appear on the brand label or must appear together with other label information.
3. Change the color(s) (background and text), shape and proportionate size of labels. Change the type size and font, and make appropriate changes to the spelling (including punctuation marks, changing letters from upper case to lower case and vice versa, and abbreviations) of words, in compliance with the regulations. Change from an adhesive label to one where label information is etched, painted or printed directly on the container and vice versa.	YES	YES	YES	All mandatory information must be readily legible and appear on a contrasting background. If you received approval for a single label then you may not divide the label into multiple labels without re-approval. All changes must comply with applicable regulations, and changes in spelling (including punctuation marks and abbreviations) must not change the meaning of the previously approved information.
4. Change the stated percentages for blends of grape varietals and appellations of origin for wine labels.	YES	N/A	N/A	When used for any of these items, the total percentages for each element must equal 100%. You may not change the name of the stated varietals or appellations without submitting a new application.
5. Add, change or delete a vintage date for wine labels.	YES	N/A	N/A	If the vintage date is deleted, no reference to “ <i>Vintage</i> ” may be made on any label or other materials (e.g., caps, capsules, corks, etc.) affixed to the bottle. When adding a new vintage date, you must comply with all applicable regulations, including the requirements regarding appellations of origin.
6. Change the optional “produced” or “made” by statements on wine labels to “blended,” “vinted,” “cellared” or “prepared” by statements.	YES	N/A	N/A	
7. Add, change or delete the stated amount of acid and/or the pH level for wine labels.	YES	N/A	N/A	
8. Change the stated amounts of sugar at harvest and/or residual sugar for wine labels.	YES	N/A	N/A	See ATF Ruling 82-4 for policy regarding use of sugar content statements and when such statements are required.
9. Add or delete bonded winery or taxpaid wine bottling house number for wine labels.	YES	N/A	N/A	If used, the number must appear in direct conjunction with the bottler’s name and address.
10. Change the net contents statement.	YES	YES	YES	Revisions must comply with all applicable regulations governing net content statements and standards of fill. Please ensure that all applicable type size requirements are met for each container size.
11. Change the mandatory statement of alcohol content, as long as the change is consistent with the labeled class and type designation, and all other labeling statements.	YES	YES	YES (Flavored Malt Beverages Only)	For example, you may change the alcohol content of a grape wine labeled with a varietal designation from 13 percent to 15 percent alcohol by volume even though it results in a change to the product’s tax classification. However, if the product was designated and labeled as a “table wine,” an alcohol content of 15 percent alcohol by volume would be inconsistent with the rules for use of that designation, so this change would not be permitted. Similarly, a label bearing a “rum” designation may not be changed to state an alcohol content of less than 40 percent alcohol by volume. The revised alcohol content statement must be consistent with all other mandatory or optional labeling statements.
12. Add, delete, or change an optional statement of alcohol content for malt beverage labels.	N/A	N/A	YES	Malt beverages that contain alcohol derived from added flavors or other added nonbeverage ingredients (other than hops extract) containing alcohol are subject to mandatory alcohol content statement requirements.
13. Change the statement of percentage of neutral spirits and the name of the commodity from which a distilled spirit is produced.	N/A	YES	N/A	These changes must not result in a change to the class or type designation of the distilled spirits product.
14. Change the mandatory age statement, or delete or change an optional age statement for distilled spirits labels.	N/A	YES	N/A	These changes must not result in a change to the class or type designation. See 27 CFR 5.22 and 5.40 for further information about age statements and minimum aging requirements applicable to certain classes and types of spirits.
15. Delete or change an optional age statement, including a barrel aging statement, for wine and malt beverage labels.	YES	N/A	YES	Statements of age on wine labels must comply with 27 CFR 4.39(b).
16. Add, delete, or change statements or information in order to comply with the requirements of the State in which the malt beverage is to be sold.	N/A	N/A	YES	Applies only to malt beverages sold in that particular state (including the District of Columbia or the Commonwealth of Puerto Rico).
17. Add a new Serving Facts statement or statement of average analysis, add a Serving Facts statement to replace a statement of average analysis, or change the numerical values for calories, carbohydrates, protein, and fat contained in an existing statement.	YES	YES	YES	The statement must be in compliance with TTB Ruling 2013-2 and TTB Ruling 2004-1. A new Serving Facts statement is an allowable revision only if it is in one of the formats that is set forth in the examples attached to TTB Ruling 2013-2.
18. Add, delete, or change stated bottling date, production date (day, month, and/or year) or freshness information including bottling, production or expiration dates or codes.	YES	YES	YES	Bottling dates added to wine labels must comply with 27 CFR 4.39(c).
19. Change the name or trade name to reflect a different name already approved for use by the responsible bonded wine cellar, taxpaid wine bottling house, distilled spirits plant, brewery, or importer. Change the address where it is within the same State.	YES	YES	YES	This means that a bonded wine cellar, taxpaid wine bottling house, distilled spirits plant, brewery or importer may revise the label to include the use of a name or trade name that is already approved for that particular industry member. The name or trade name must appear on the basic permit, brewer’s notice, or other qualifying documents for the company to whom the original certificate was issued. If the name or trade name is also used as the brand name on the label, resulting in a change of brand name, you must submit a new application. The change in address is ONLY allowed for in-state moves or other changes to the COLA holder’s address that have already been reflected on the industry member’s basic permit, brewer’s notice, or other qualifying documents.
20. Add, delete, or change the name and/or address of the foreign producer, bottler, or shipper.	YES	YES	YES	The producer, bottler, or shipper must be located in the same country originally shown.
21. Add, delete, or change the name, address, and/or trademark of the wholesaler, retailer, or persons for whom the product is imported or bottled.	YES	YES	YES	

22. Add, delete, or change bottle deposit information, or container recycling information or logos.	YES	YES	YES	
23. Add, delete, or change UPC barcodes and/or 2D mobile barcodes, e.g., QR codes or Microsoft Tags.	YES	YES	YES	Addition or change of UPC Code must be in compliance with Industry Circular 77-23. Any information retrieved from 2D barcodes must be in compliance with all applicable advertising regulations.
24. Add, delete, or change a Web site address, phone number, fax number, or zip code.	YES	YES	YES	
25. Add, delete, or change a lot or batch identification number or other serial numbers.	YES	YES	YES	
26. Add, delete, or change trademark, copyright symbols (e.g., TM, ©, ®), kosher symbols, company logos, and/or social media icons.	YES	YES	YES	Symbols, logos and icons may not violate TTB regulations. Advertisements on social media sites must be in compliance with all applicable advertising regulations.
27. Add, delete, or change optional information about awards or medals, or the signature of the brewer, winemaker, or distiller of the product.	YES	YES	YES	
28. Add, delete, or change holiday- and/or seasonal-themed graphics, artwork and/or salutations.	YES	YES	YES	Holiday/seasonal-themed information or graphics must not conflict with or qualify the mandatory information and must comply with all applicable regulations, including the rules governing prohibited practices.
29. Delete or change promotional sponsorship-themed graphics, logos, artwork, dates, event locations and/or other sponsorship-related information. (Examples: sports leagues, team organizations, annual sporting events, and annual or semi-annual festivals.) Delete or change charitable endorsement information to include information about the proceeds.	YES	YES	YES	If authorization by a third party was required for use of such promotional sponsorship-themed information on a label when first approved, it is the responsibility of the industry member to have any necessary documentation of authorization to cover the revisions to the approved label(s). The labeling statements may not create a misleading impression.
30. Add, delete, or change a label or sticker that provides information about a rating or recognition provided by an organization (e.g., "Recognized as one of the top values in vodka by x Magazine" or "Rated as the best 2012 wine by x Association"), as long as the rating or recognition reflects simply the opinion of the organization and does not make a specific substantive claim about the product or its competitors.	YES	YES	YES	These statements or graphics must not conflict with or qualify any mandatory information and must comply with all applicable laws and regulations. Substantive claims about the product or its competitors are not covered by this exemption.
31. Delete all organic references from the label.	YES	YES	YES	If you choose to delete one organic claim on a label on which you have received approval to make organic claims, then all organic claims, references and certification statements must be deleted on the revised label. The deletion of individual references or certification statements is not permitted without a new COLA.
32. Change an approved sulfite statement to any of these options: <i>"Contains Sulfites", "Contains (a) Sulfiting Agent(s)", "Contains [name of specific sulfating agent]", "Contains Naturally Occurring and Added Sulfites"</i> ; or <i>"Contains Naturally Occurring Sulfites."</i>  "Sulphites" may be used in lieu of "Sulfites."	YES	YES	YES	A sulfite statement is required when sulfur dioxide or a sulfiting agent is detected at a level of 10 or more parts per million, measured as total sulfur dioxide. The statement used must accurately reflect all of the sulfur dioxide or sulfiting agent(s) present in the alcohol beverage. For wine: Any other variation of the statement or removal of the statement requires a lab analysis. For sulfite waivers, the proprietor must have proof of sample analysis from a TTB-certified laboratory or from the TTB Compliance Laboratory.
33. Add, delete, or change information about the number of bottles that were "made," "produced," "brewed," or "distilled" in a batch; respectively.	YES	YES	YES	Example: "100 bottles produced"
34. Add certain instructional statements to the label(s) about how best to consume or serve the product. Only the statements listed in the comments section may be added.	YES	YES	YES	<b>Only</b> the following statements are approved to be added to a label: <i>"Refrigerate After Opening"</i> <i>"Do Not Store In Direct Sunlight",</i> <i>"Best If Frozen For to_ Hours",</i> <i>"Shake Well",</i> <i>"Pour Over Ice",</i> <i>"Best When Chilled",</i> <i>"Best Served Chilled",</i> <i>"Serve Chilled",</i> <i>"Serve at Room Temperature"</i>

If you have questions about what is mandatory information and what is non-mandatory information, please consult the applicable regulations in 27 CFR parts 4, 5, 7 and 16, or contact TTB. See Section IV for how to contact TTB.

### PAPERWORK REDUCTION ACT NOTICE

This request is in accordance with the Paperwork Reduction Act of 1995. We collect this information to verify your compliance with the Federal laws and regulations we administer for the labeling of alcohol beverages. The information is mandated by statute (27 U.S.C. 205) and is used to obtain a benefit.

We estimate 31 minutes as the average burden for you to complete this form depending on your individual circumstances. You may comment to us about the accuracy of this burden estimate and suggest ways for us to reduce the burden. Address your comments or suggestions to: Reports Management Officer, Regulations and Rulings Division, Alcohol and Tobacco Tax and Trade Bureau, 1310 G Street, NW., Box 12, Washington, DC 20005.

We may not conduct this collection of information, and you are not required to respond to this request, unless it displays a valid, current OMB control number.

### DISCLOSURE STATEMENT

We require this information under the authority of 27 U.S.C. 205(e). You must disclose this information so we may verify your compliance with the Federal laws and regulations we administer for the labeling of alcohol beverages.

We use this information for the purposes described in the preceding paragraph. In addition, the information may be disclosed to other Federal, State, and local law enforcement and regulatory agency personnel to verify information on the application and to aid in the performance of their duties. The information may further be disclosed to the Justice Department if it appears that the furnishing of false information may contribute to a violation of Federal law. If you fail to supply complete information, then there will be a delay in the processing of your application.

After TTB issues a certificate of label approval, a certificate of exemption from label approval, or a distinctive liquor bottle approval, copies of the approved applications are made available for public inspection.