



Slide 1





Industry Circular 2019-2
Temporary Voluntary Disclosure
Program

Permits Online Demo:
Change in Control

Alcohol and Tobacco Tax and Trade Bureau

V1: Hi everyone, and thank you for joining our Permits Online presentation for submitting your temporary voluntary disclosure program, or TVDP, applications, per Industry Circular 2019-2.



Objective

For wholesalers and importers that have undergone an unreported change in control, demonstrate how to file in Permits Online under the Temporary Voluntary Disclosure Program (TVDP), as outlined in Industry Circular 2019-2.


- In Permits Online, this application is filed as an **AMENDMENT**.

2 9/10/19

V2: In this presentation, we're going to show you how to submit the documentation needed under the temporary voluntary disclosure program for a change in control.

V2: If you're going to submit a change in control application, called an amendment in Permits Online, log in to your Permits Online account.

Slide 3


 **Need to Register?**

User Name or E-mail: Password: [Log In »](#)

Remember me on this computer [I've forgotten my password](#) [New Users: Register for an Account](#)

Permits Online is TTB's free, secure electronic system where you can **apply for the permits, registrations, or notices** you need to start your business or **amend your existing approvals**.

New to Permits Online?


- Get started by [viewing our tutorial](#) 
- See all [online help](#)

3 9/10/19

V1: If you are new to Permits Online and need help registering for an account, please click the **“viewing our tutorial”** link on the Permits Online login page, and visit Part Two of the tutorial.

V2: The rest of this presentation will help you navigate the screens you’ll see when you’re logged into Permits Online.

Slide 4

 **Access Records**

Home My Submissions Resume Draft Help

Welcome Joe Industry Member
You are now logged in.

What do you want to do today?

4 9/10/19

V2: Once you've logged in to Permits Online, click on ***My Submissions***.

Slide 5

My Records

Here is a list of the permit, registration, and notice applications that you have permission to access and update.

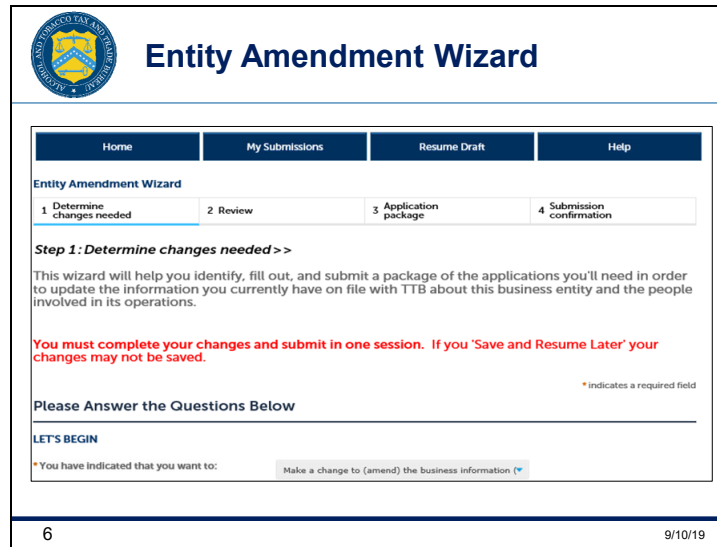
If you are looking for records that were originally filed on paper or by a colleague and don't see them here, [submit a request to have them linked](#) to your account.

Showing 1-10 of 100+ | [Add to collection](#)

<input type="checkbox"/>	Date	Tracking Number	Application Type	EIN / Business Name	Perm/Reg/Op	Address	Status	Action
<input type="checkbox"/>	05/21/2019	2019-WINE-00019-O	Application for Winery Operations	45-6921475 / Voluntary Disclosure LLC	KY-W-21042	1 Voluntary ST Disclosure KY 41042	Approved	Create Amendment
<input type="checkbox"/>	05/21/2019	2019-ENTITY-00113-O	Application for Original Entity	45-6921475 / Voluntary Disclosure LLC			Active	Create Amendment


5 9/10/19

V1: Your business information is contained in the Entity record, which we've circled here. When you want to submit a change in control to your business structure in the Permits Online system, it's treated in Permits Online as an Entity amendment. Locate your Entity tracking number and click the **Create Amendment** link, above our arrow to the right.



The image shows a screenshot of the 'Entity Amendment Wizard' web interface. At the top left is the logo of the Maryland Tax Authority. The main title is 'Entity Amendment Wizard'. Below the title is a navigation bar with four buttons: 'Home', 'My Submissions', 'Resume Draft', and 'Help'. The wizard progress bar shows four steps: 1 Determine changes needed (highlighted), 2 Review, 3 Application package, and 4 Submission confirmation. The current step is 'Step 1: Determine changes needed >>'. The text explains that the wizard will help identify, fill out, and submit a package of applications to update information on file with the Tax and Business Administration (TTB). A red warning message states: 'You must complete your changes and submit in one session. If you 'Save and Resume Later' your changes may not be saved.' Below this is a note '* indicates a required field'. The section 'Please Answer the Questions Below' contains a 'LET'S BEGIN' button and a dropdown menu with the text '* You have indicated that you want to: Make a change to (amend) the business information (*)'. The footer shows the page number '6' and the date '9/10/19'.

V2: This page shows you to the Entity Amendment wizard. Click through the steps to enter your information.




Wizard Questions

Business Entity

AMENDED ENTITY INFORMATION
Tell us about the specific changes you need to make to the business entity information you have on file with TTB.

IMPORTANT: Any changes you make to this business information as part of your application package will be applied (upon approval) to all other permits, registrations, and notices you have on file with TTB for this EIN - there is no need to file separate amendments.

- Do you want to terminate all TTB-regulated operations under this EIN? Yes No
- Do you need to add or remove trade names (this does not include your operating / doing business as name)? Yes No
- Do you need to add a new owner, officer, or other person associated with this business? Yes No 
- Are you applying for Specially Denatured or Tax Free Alcohol? Yes No

7 9/10/19

V1: The wizard will begin asking you questions about your amendment. The answers you provide will create your amendment application. It's important that you answer **yes** to the question indicated by the arrow. A change in control is when you need to add a new owner, officer, or other person associated with this business, so don't forget to select **yes**.

Identifying Personnel Questionnaires

As part of this process, we need some personal background information about owners, officers, and others associated with the business; this information is collected through the Personnel Questionnaires (PQ) (formerly called OOBs). PQs can be submitted separately from this application package.

Select:

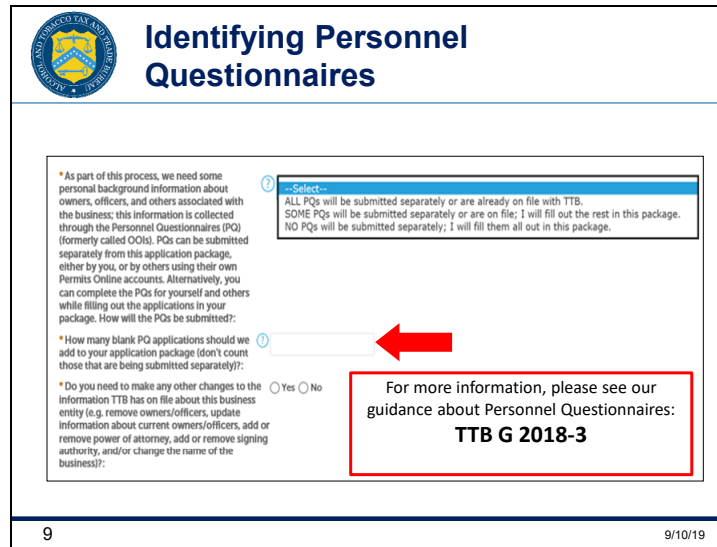
- ALL PQs will be submitted separately or are already on file with TTB.
- SOME PQs will be submitted separately or are on file; I will fill out the rest in this package.
- NO PQs will be submitted separately; I will fill them all out in this package.

- If all of your PQs will be submitted separately from the application or are already on file with TTB, select the first option, “All PQs will be submitted separately or are already on file with TTB”. Some applicants prefer to complete their own personnel questionnaires for privacy concerns.
- If some of the PQs will be submitted separately from the application or are already on file with TTB, select the second option, “SOME PQs will be submitted separately...”
- If you’re going to submit all the PQs inside of this application, select the third option, “NO PQs will be submitted separately...”

8 9/10/19

V2: On this screen you will decide how to submit your personnel questionnaires, that we’ll call “PQs.” Look at the first drop-down box we’ve circled, and follow these directions to highlight your selection:

- If all of your PQs will be submitted separately from the application or are already on file with TTB, select the first option, “All PQs will be submitted separately or are already on file with TTB”. Some applicants prefer to complete their own personnel questionnaires for privacy concerns.
- If some of the PQs will be submitted separately from the application or are already on file with TTB, select the second option, “SOME PQs will be submitted separately...”
- If you’re going to submit all the PQs inside of this application, select the third option, “NO PQs will be submitted separately...”



The screenshot shows a web form titled "Identifying Personnel Questionnaires" with the TTB logo in the top left. The form contains three numbered questions:

- Question 1: "As part of this process, we need some personal background information about owners, officers, and others associated with the business; this information is collected through the Personnel Questionnaires (PQ) (formerly called OOHs). PQs can be submitted separately from this application package, either by you, or by others using their own Permits Online accounts. Alternatively, you can complete the PQs for yourself and others while filling out the applications in your package. How will the PQs be submitted?" This question has a dropdown menu with the text: "Select--", "ALL PQs will be submitted separately or are already on file with TTB.", "SOME PQs will be submitted separately or are on file; I will fill out the rest in this package.", and "NO PQs will be submitted separately; I will fill them all out in this package." A red arrow points from this dropdown menu to the input field for question 2.
- Question 2: "How many blank PQ applications should we add to your application package (don't count those that are being submitted separately):" This question has an empty input field.
- Question 3: "Do you need to make any other changes to the information TTB has on file about this business entity (e.g. remove owners/officers, update information about current owners/officers, add or remove power of attorney, add or remove signing authority, and/or change the name of the business):" This question has radio buttons for "Yes" and "No".


A red-bordered box on the right side of the form contains the text: "For more information, please see our guidance about Personnel Questionnaires: TTB G 2018-3".

At the bottom left of the slide is the number "9" and at the bottom right is the date "9/10/19".

V1: Then, in the area we've indicated with an arrow, make sure you list the correct number of PQs for the question, "How many blank PQ applications should we add..." – it's important to do this because the wizard will create PQ applications in your package based on the number you provide here. If you list too many or not enough, you'll need to start the amendment wizard all over again to get the correct amount. PQs already on file with TTB and PQs that you plan to submit separately do not count toward this number.


V2: If you need additional information about Personnel Questionnaires, please search for "TTB G 2018-3" on TTB.gov.

Slide 10

 **Check Your Answers**

Make Sure Your Answers are Correct


CONFIRM
Thanks for telling us about the changes you're making to your business entity information! We're almost ready to build your custom application package. ~~Before we do so, please review your answers to the questions above and be sure they are correct.~~

ARE YOU SURE? You can't change your answers after leaving this screen (they are used to build your package).
* I have reviewed my answer choices and confirm that they accurately reflect my business changes: 

[Continue »](#)

10 9/10/19

V1: After you complete all the questions and you're at the bottom of the page, you'll get a reminder to check your questions and verify that you've reviewed them and they're accurate. Once you check the **Confirm** box, you'll notice a red prompt asking if you're sure. Make sure you ARE sure because you can't change your answers after leaving this screen. This is your last opportunity to make sure you answered all the questions in the wizard correctly. Once you click **Continue**, the package will be built based on your answers.

 **Final Review**

Entity Amendment Wizard

1 Determine changes needed 2 Review 3 Application package 4 Submission confirmation

Step 2: Review

[Continue »](#) [Save and resume later](#)

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

11 9/10/19

V2: This page allows you to review everything again. It shows you all the questions you were asked, along with the answers you provided. You can't make any corrections at this point. So if your package is incorrect, you'll need to exit and log back in, following the directions again. If everything looks good, click **Continue**. Unfortunately, users have reported issues with the *Save and resume later* function, and we do not recommend using it at this time.

Start Your Amendment Application

Home My Submissions Resume Draft Help

Entity Amendment Wizard

1 Determine changes needed 2 Review 3 Application package 4 Submission confirmation

Step 3: Application package

Based on the information you have provided, your application package consists of the application(s) shown below. Select "Start" to begin each application. Once all applications are in "Ready to submit (edit)" status, you may select the "Submit application package" button. After submitting the application package, you will no longer be able to change any of the information.

Please complete the following applications:

Amended Application for Entity Information [Start](#)

Personnel Questionnaire [Start](#)

Submit Application Package [Save and resume later](#)

12 9/10/19

V1: Okay, now the Application Package the wizard created based on your answers is ready. Click on the **Start** link to begin each application in your package. Everyone will have an "Amended Application for Entity Information" and, depending on how you answered the questions about how you would submit your Personnel Questionnaires, you may have one or more PQs to complete.

Amendment Reasons

REASON FOR THE AMENDMENT
Select at least one of the following to make changes to your approved permit, registration, or notice.

Are you changing proprietorship / ownership?

Are you changing any partner or general partner (s) but not changing controlling ownership of the company?

Are you changing any stockholders or members holding 10% or more but not changing controlling ownership of the company?

Are you changing any corporate officers, directors or any titled positions but not changing controlling ownership of the company?

Are you changing controlling ownership of the company?

Date of change: *

Are you adding, revoking, or changing signing authority?

Are you adding, revoking, or changing power of attorney?

Are you changing your legal business name?


13 9/10/19

V2: In this section, called *Reason for the Amendment*, you MUST check the box for “**Are you changing controlling ownership of the company**” and add the date this change took place. If you are also changing who has signing authority or power of attorney, check the appropriate box.

V1: DO NOT check the box for “**Are you changing proprietorship/ownership?**”

V2: You may also check the following boxes if applicable in order to file multiple changes in one application:

- Are you changing any partner...
- Are you changing any stockholders...
- Are you changing any corporate officers..., depending on your business structure.

 **Verify Entity Information**

Entity Information

This page shows the basic information for the business entity you are amending. Please identify the reason(s) you are submitting this amendment.
If you are changing your business name, please update it at the bottom of this page.

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

* Business Name:

* EIN:

* Type of Organization:

State Where Incorporated/Organized:

Company Website URL:

[Continue >](#) [< Back to Application Package](#) [Save and resume later](#)

14 9/10/19

V1: Here you're going to verify your *Entity information* and then click **Continue**.

Step 2a

OFFICER/OWNERSHIP INFORMATION

Select "Add a Row" to identify each partner, general/limited partner, officer, director, trustee, manager, member, managing member, or sole proprietor.

You must also add a row for every stockholder or interest holder with a stake of 10% or more in the business.

Finally, you must also add a row for every company or trust holding ownership in the business.

Showing 1-1 of 1

Removal date for TTB use only	Officer/Owner Classification	How are you submitting the Personnel Questionnaire Information?	First Name	Middle Name	Last Name	Personnel Questionnaire Tracking Number	Employer Identification Number (EIN)	Suffix	Email Address	Title	T H O
<input type="checkbox"/>	Individual	Not Applicable	Angela		McMillin					Manager	

Add a Row **Edit Selected** **Delete Selected**

15 9/10/19

V2: When you get to this section of the Application in Permits Online, you'll see three separate tables: one for *Officer/Ownership Information*, one for *Signing Authority*, and another one for *Power of Attorney*. This screenshot only shows you the Officer/Ownership Information table as an example, but each table works the same way to add, remove, or delete any of the information, and they are all located on the same page.

V1: If you need to add additional partners, officers, managers, members, Signing Authority or Power of Attorney, click on **Add a Row** in the circled area and then enter the new information. If you need to edit any information, select the box, shown here with an arrow, next to the row and click on **Edit Selected**. If there is information that is no longer valid, select the box or boxes of those rows and click on **Delete Selected**.

V2: When you're finished editing, click **Continue**.

Required Document Checklist

Step 3a

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

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

Important: Please make any changes to the Method of Submission on your FINAL PASS through this application, since previous edits will be overwritten upon revisiting this page.
 If no documents are listed in the table below, you are not required to upload any supporting documents and can continue your application.

Showing 1-1 of 1

Document Type	Comments	Method of Submission	Permit, registry, notice, or application tracking number	Actions
<input type="checkbox"/> Organizational Documents		Uploaded		

[Edit Selected](#)

Step 3b: Upload Required Documents
 Upload attachments here. Be sure to save all uploads before leaving this page using the 'Save Attachments' button. View, download, or print attachments by selecting the document name.

Attachment List
 Files can be up to 50 MB in size. Larger documents should be separated and uploaded as multiple files if necessary. PDF file type is preferred.

Name	Document Type	Size	Date	Action
No records found.				

[Add](#) [Continue](#) [Back to application package](#) [Save and resume later](#)

16 9/10/19

V1: Based on your answers, Permits Online will create a list of *Required Documents* that you'll need to attach to your application. For temporary voluntary disclosure program applications, along with any listed *Required Documents*, you must also upload your *Request and Certification* letter here. A sample of that letter can be found as Attachment A to Industry Circular 2019-2.

V2: Click the **Add** button to upload your *Required Documents* and the *Request and Certification* letter.

Slide 17

Uploading Files

File Upload ×

Files can be up to 16 MB in size. Larger documents should be separated and uploaded as multiple files if necessary. PDF file type is preferred.

Operating Agreement for LLC.pdf 100%

Continue Add Remove All Cancel

17 9/10/19

V1: When you click *Add*, a dialogue box will open that looks like this. Click **Add** to browse your computer files to find and attach the required documents. Then click *Continue* to move on.

Upload Request and Certification Letter

*Type:
Voluntary Disclosure Request

File:
Other.pdf 100%

Description: ?

Save Attachments Add Remove All

Continue » « Back to Application Package

18 9/10/19

V2: In addition to any listed required documents, don't forget to upload the *Request and Certification* letter. First, in the **Type** dropdown, select **Voluntary Disclosure Request** for the *Request and Certification* letter. Next, once it's uploaded, click **Save Attachments**, and then click **Continue**.

Verify Uploads

Step 3b: Upload Required Documents

Upload attachments here. Be sure to save all uploads before leaving this page using the 'Save Attachments' button.
View, download, or print attachments by selecting the document name.

Attachment List

Files can be up to 16 MB in size. Larger documents should be separated and uploaded as multiple files if necessary.
PDF file type is preferred.

Name	Document Type	Size	Date	Action
Other.pdf	Voluntary Disclosure Request	26.13 KB	07/16/2019	Actions ▼
Operating Agreement for LLC.pdf	Organizational Documents	27.28 KB	07/16/2019	Actions ▼

Add

Continue > < Back to Application Package

Save and resume later

19 9/10/19

V1: Look at the circled attachment list and verify that your documents were successfully uploaded, including the *Request and Certification* letter. After you verify that you uploaded the documents, click **Continue**.

Declare and Acknowledge

Declaration

This page shows the basic information for the business entity you are amending. Please identify the reason(s) you are submitting this amendment.
If you are changing your business name, please update it at the bottom of this page.

DECLARE AND ACKNOWLEDGE
By checking the box below, you declare under penalty of perjury that you have examined this application, including accompanying statements, and it is true, correct, and complete to the best of your knowledge and belief.

You may not commence or engage in the operations covered by this application until you have received approval from the Director of the National Revenue Center.

I declare under penalties of perjury under the laws of the United States of America, that I have examined this application, including accompanying statements, and to the best of my knowledge and belief, it is true, correct, and complete.


Declaration Date:

[Continue](#) → Back to Application Package [Save and resume later](#)

20 9/10/19

V2: After you read the declaration, acknowledge it by checking the **Declare and Acknowledge** box. The *Declaration Date* will populate automatically, then click **Continue**.

Slide 21

 **Submit your Package**

Step 5: Review

[Continue »](#) [« Back to Application Package](#)

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

Editing Your Answers

Step 3: Application package

Based on the information you have provided, your application package consists of the application(s) shown below. Select "Start" to begin each application.

Once all applications are in "Ready to submit (edit)" status, you may select the "Submit application package" button. After submitting the application package, you will no longer be able to change any of the information.

Please complete the following applications:


Amended Application for Entity Information 45-6921475 / Voluntary Disclosure LLC [Ready to submit \(edit\)](#)

Personnel Questionnaire [Start](#)


[Submit Application Package »](#) [Save and resume later](#)

21 9/10/19

V1: Next, you'll review your answers and click **Continue**. Then, you'll be directed back to your application package. Complete any remaining applications. When all the applications show a *Ready to submit (edit)* status, click **Submit Application Package**.

 **Confirmation**

Submission Confirmation


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

Entity Application, Personnel Questionnaires, and Access Requests


19CAP-00000402
2019-ENTITY-00101-A
PQ-2019-00023

22 9/10/19

V2: Your submission confirmation window will pop up and your email confirmation will include the Tracking Number assigned to your amendment.



Questions



Contact TTB at:

- 1-877-882-3277

OR

- CIC2019@ttb.gov

23 9/10/19

V1: If you have any questions, please contact us by phone or email and we'll be happy to help you! Good luck and thanks for joining us!