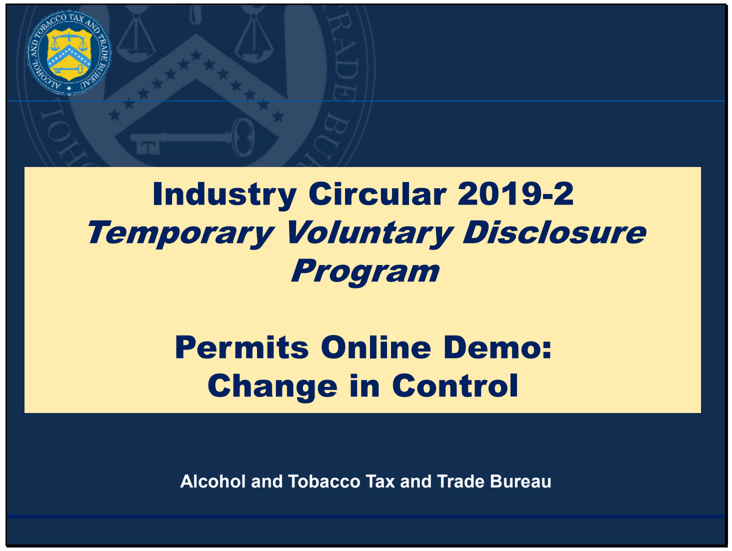
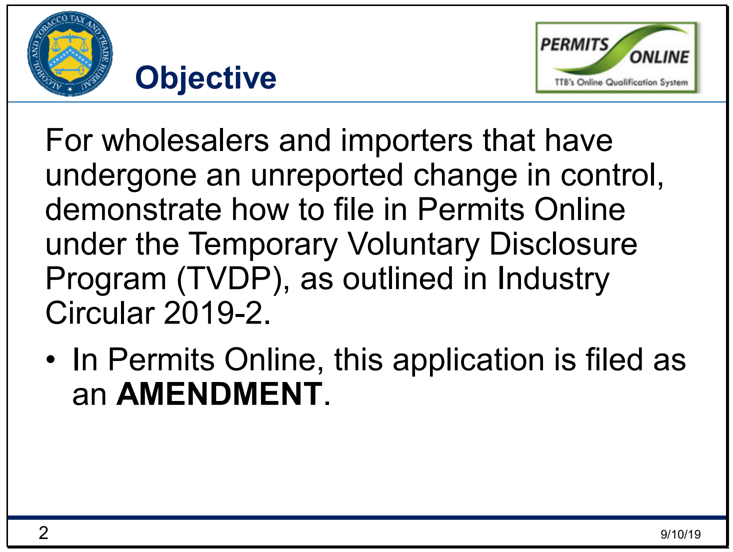
Slide 1



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.

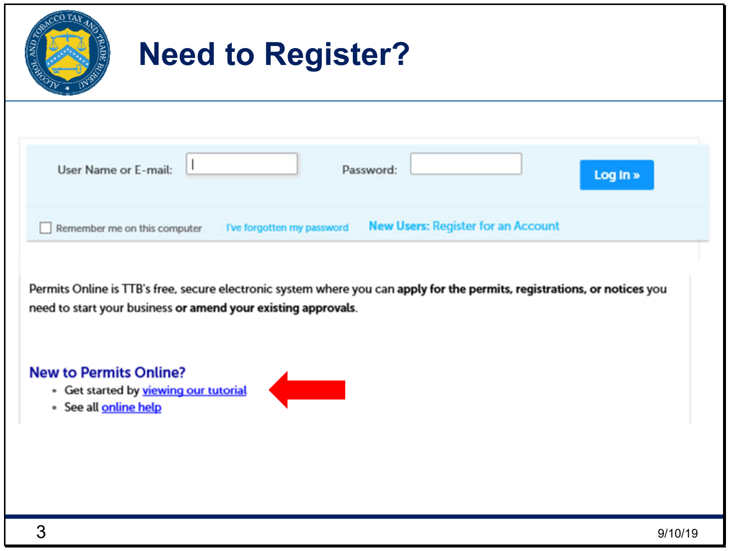
Slide 2



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.

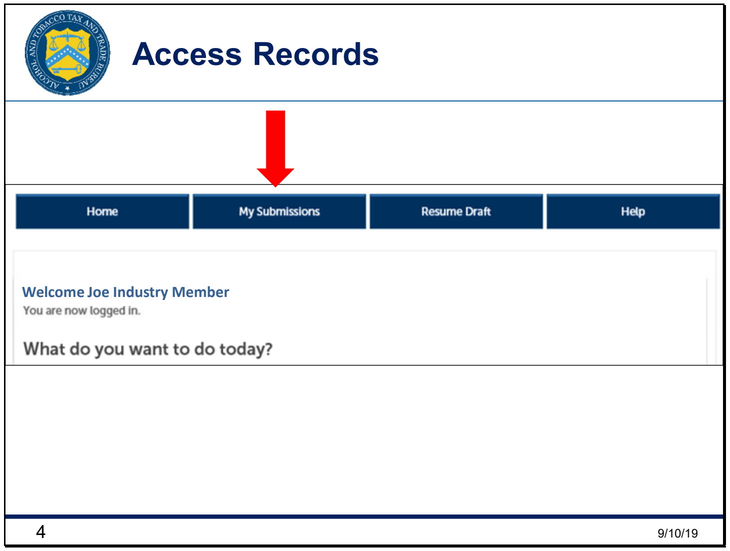
Slide 3



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.

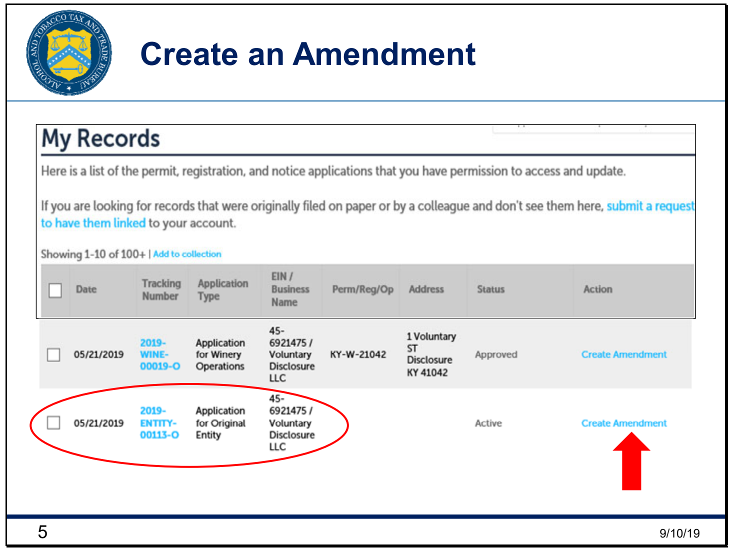
V2: The rest of this presentation will help you navigate the screens you'll see when you're logged into Permits Online.

Slide 4



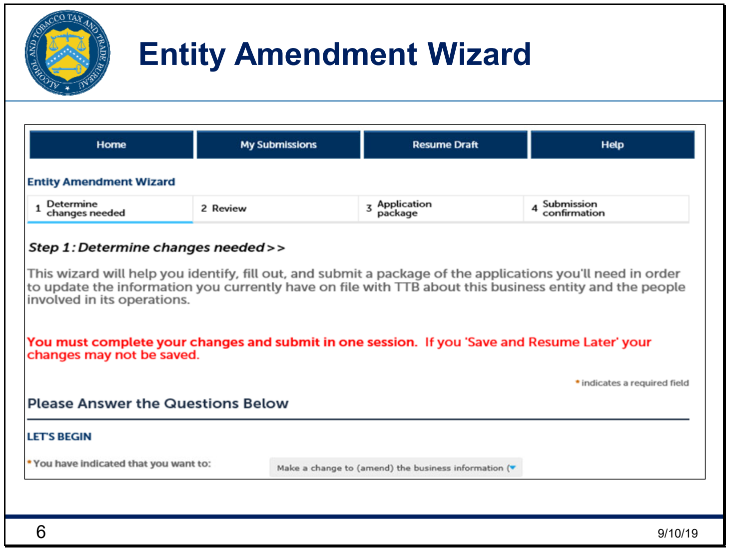
V2: Once you’ve logged in to Permits Online, click on ***My Submissions***.

Slide 5



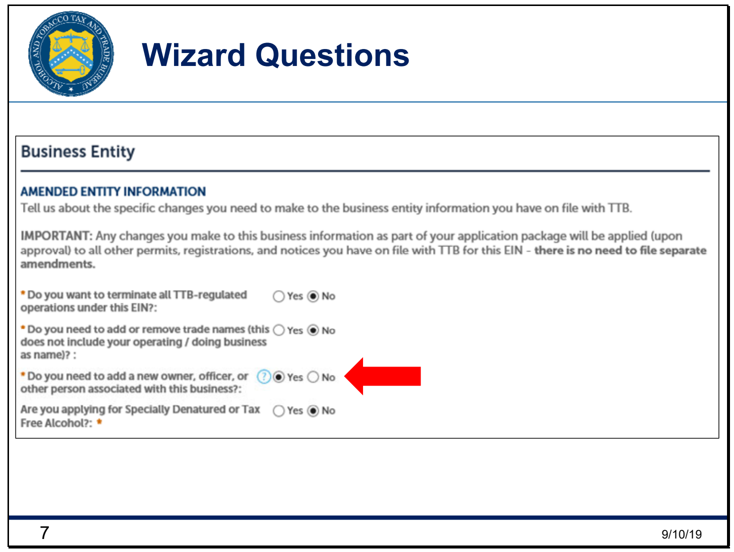
V1: Your business information is contained in the Entity record, which we've circled here. When you want to submit a change in control to your business structure in the Permits Online system, it's treated in Permits Online as an Entity amendment. Locate your Entity tracking number and click the ***Create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

Slide 6



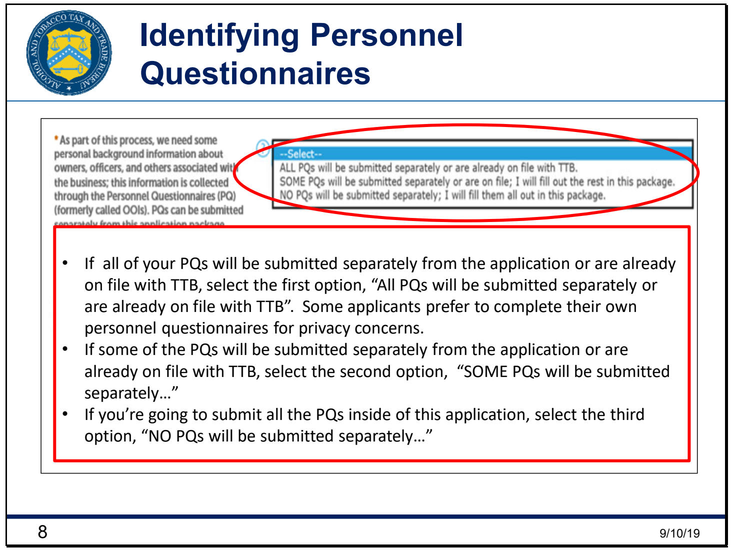
V2: This page shows you to the Entity Amendment wizard. Click through the steps to enter your information.

Slide 7



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***.

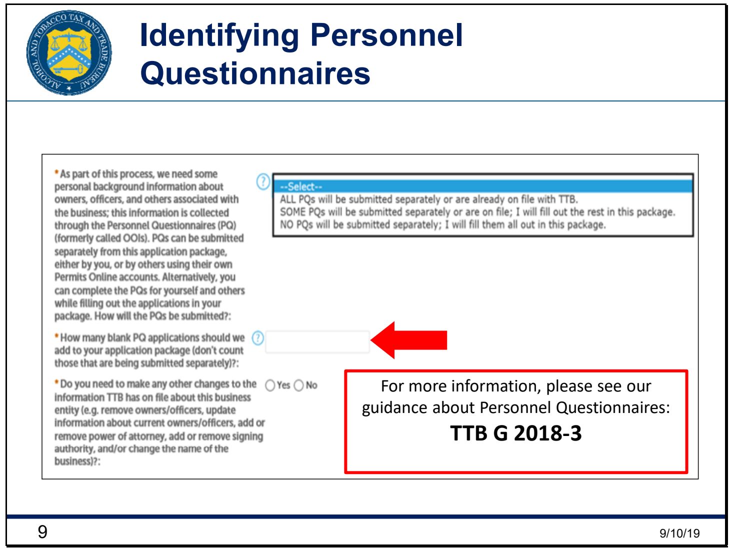
Slide 8



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…"

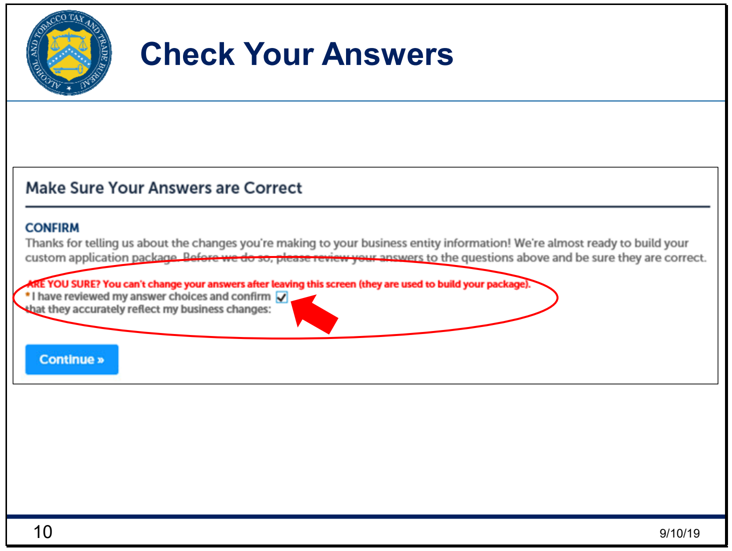
Slide 9



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.

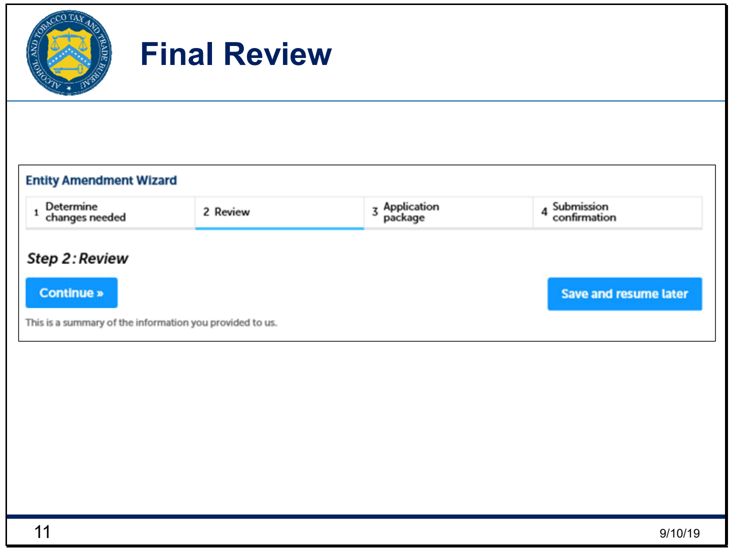
V2: If you need additional information about Personnel Questionnaires, please search for "TTB G 2018-3" on TTB.gov.

Slide 10



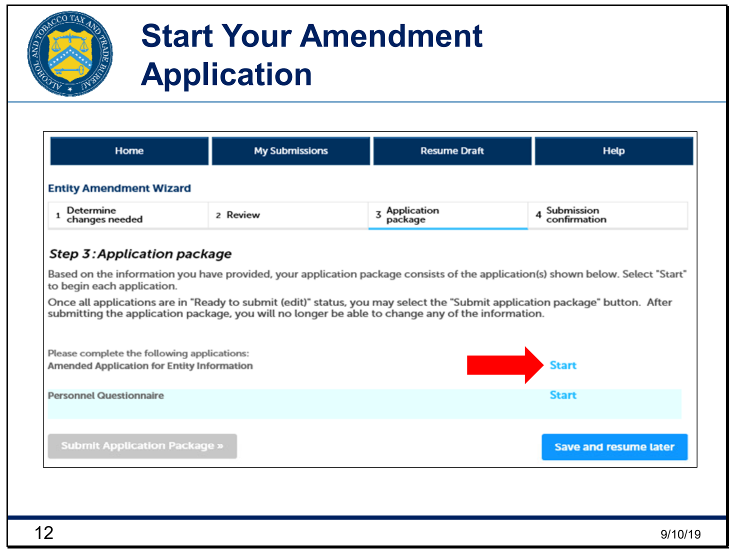
V1: After you complete all the questions and you're at the bottom of the page, you'll get a reminder to check your questions and verify that you've reviewed them and they're accurate. Once you check the ***Confirm*** box, you'll notice a red prompt asking if you're sure. Make sure you ARE sure because 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.

Slide 11



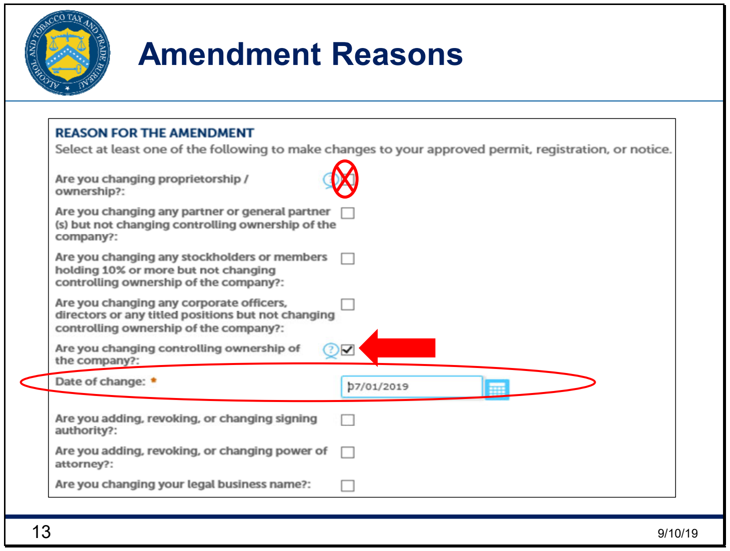
V2: This page allows you to review everything again. It shows you all the questions you were asked, along with the answers you provided. You can't make any corrections at this point. So if your package is incorrect, you'll need to exit and log back in, following the directions again. If everything looks 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.

Slide 12



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.

Slide 13



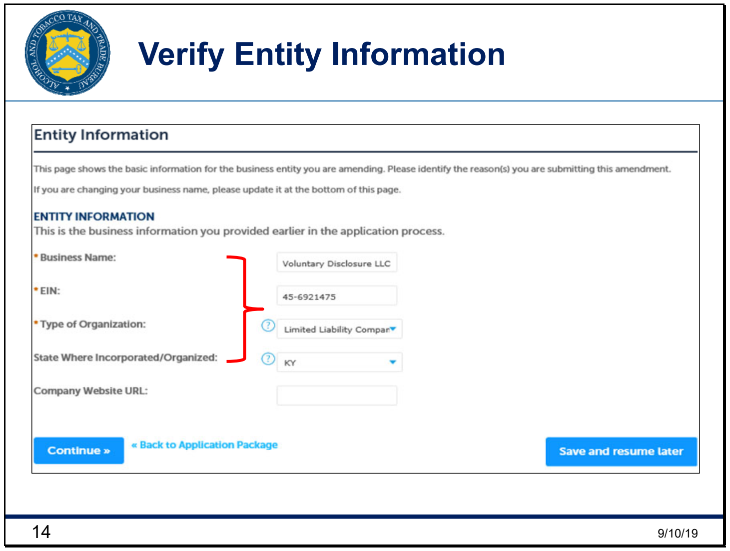
V2: In this section, called *Reason for the Amendment*, you MUST check the box for ***"Are you changing controlling ownership of the company"*** and add the date this change took place. If you are also changing who has signing authority or power of attorney, check the appropriate box.

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:

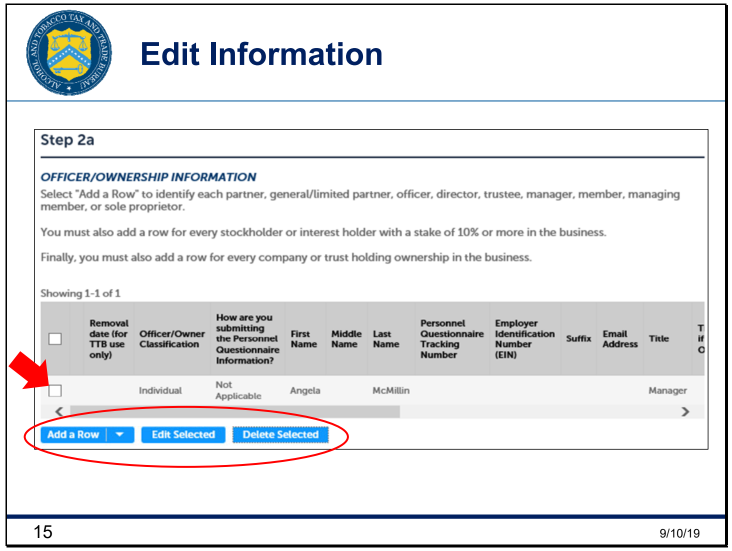
- Are you changing any partner…
- Are you changing any stockholders…
- Are you changing any corporate officers…, depending on your business structure.

Slide 14



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

Slide 15

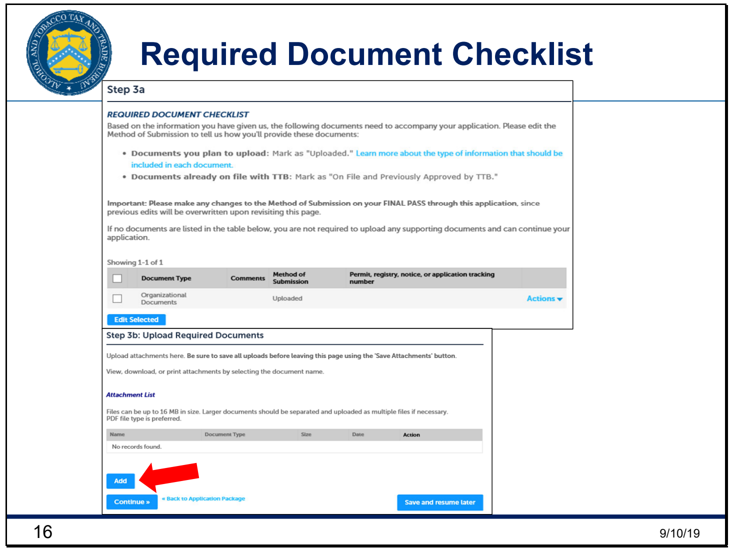


V2: When you get to this section of the Application in Permits Online, you'll see three separate tables: one for *Officer/Ownership Information*, one for *Signing Authority,* and another one for *Power of Attorney*. This screenshot only shows you the Officer/Ownership Information table as an example, 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***.

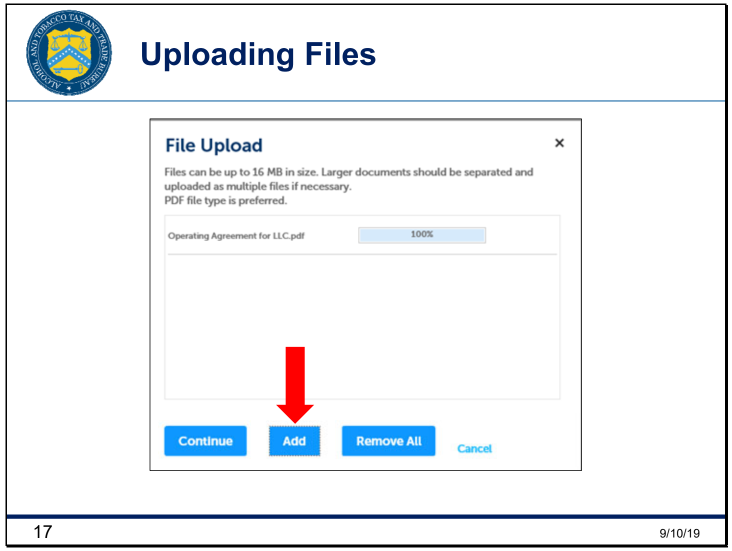
Slide 16



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.

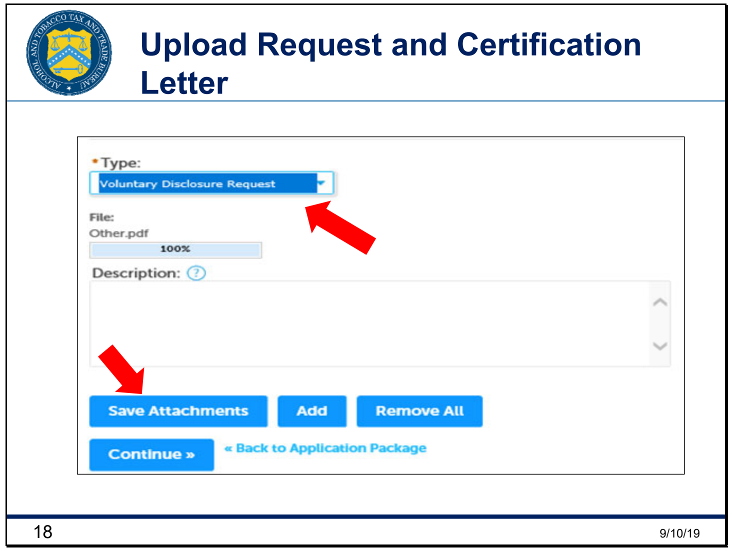
V2: Click the ***Add*** button to upload your *Required Documents* and the *Request and Certification* letter.

Slide 17



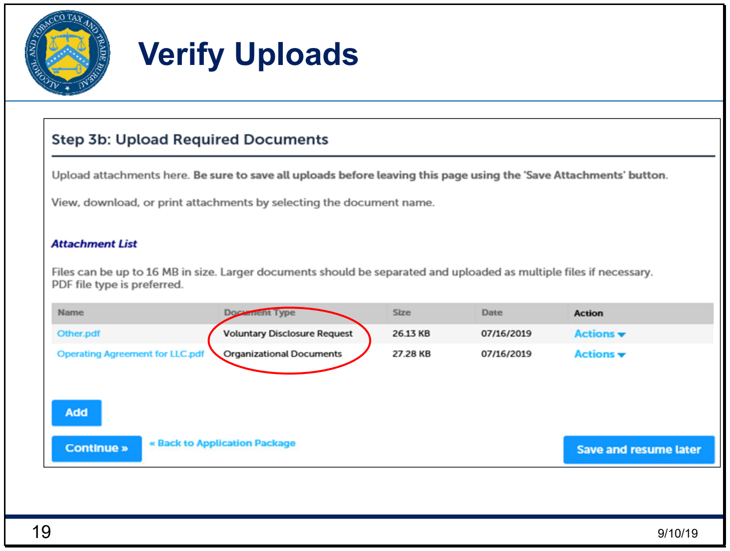
V1: When you click *Add*, a dialogue box will open that looks like this. Click ***Add*** to browse your computer files to find and attach the required documents. Then click *Continue* to move on.

Slide 18



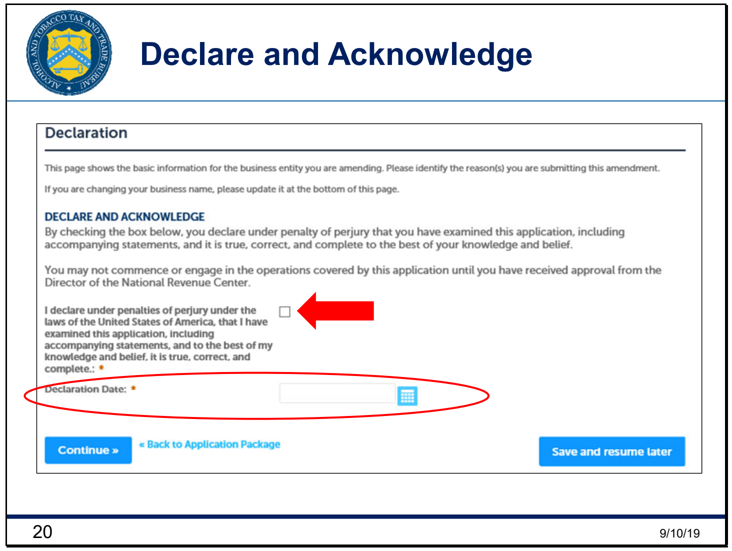
V2: In addition to any listed required documents, don't forget to upload the *Request and Certification* letter. First, in the ***Type*** dropdown, select ***Voluntary Disclosure Request*** for the *Request and Certification* letter. Next, once it's uploaded, click ***Save Attachments***, and then click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

Slide 19



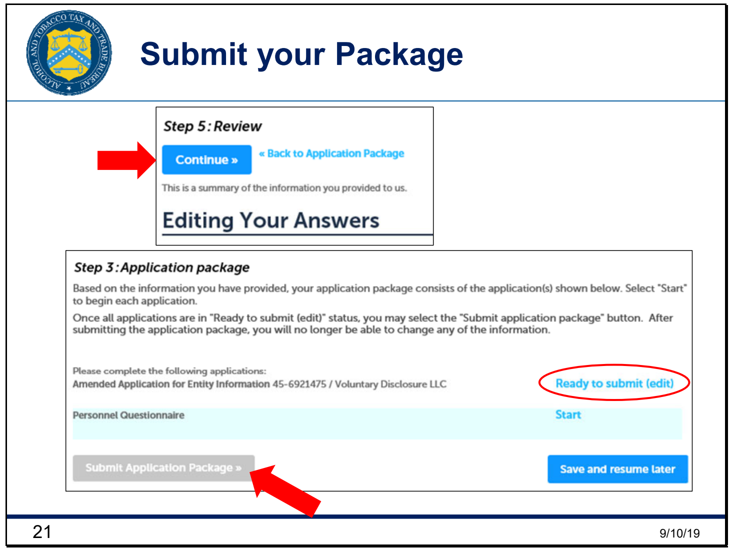
V1: Look at the circled attachment list and verify that your documents were successfully uploaded, including the *Request and Certification* letter. After you verify that you uploaded the documents, click ***Continue***.

Slide 20



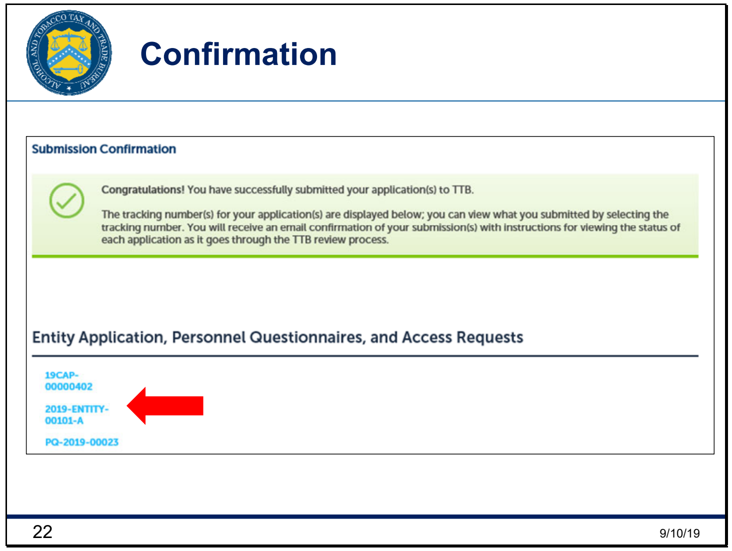
V2: After you read the declaration, acknowledge it by checking the ***Declare and Acknowledge*** box. The *Declaration Date* will populate automatically, then click ***Continue***.

Slide 21



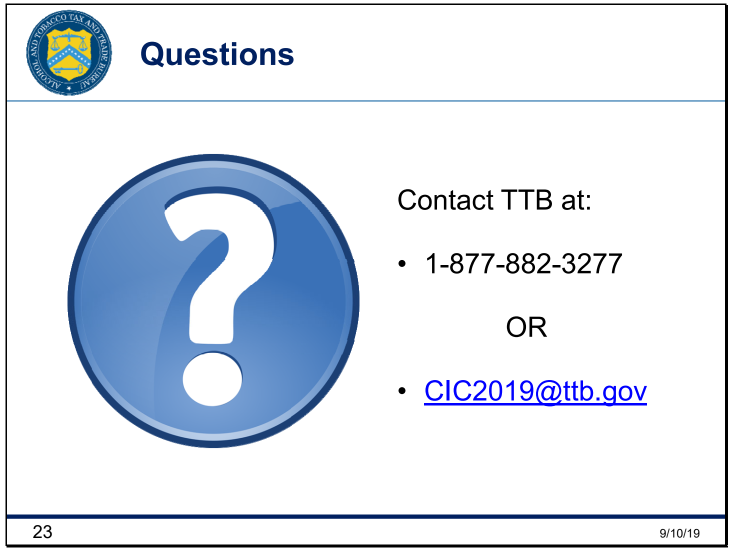
V1: Next, you'll review your answers and click ***Continue***. Then, you'll be directed back to your application package. Complete any remaining applications. When all the applications show a *Ready to submit (edit)* status, click ***Submit Application Package***.

Slide 22



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

Slide 23



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!