

FOR TTB USE ONLY

**DEPARTMENT OF THE TREASURY ALCOHOL AND TOBACCO TAX  
AND TRADE BUREAU APPLICATION FOR AND  
CERTIFICATION/EXEMPTION OF LABEL/BOTTLE  
APPROVAL**

*(See Instructions and Paperwork Reduction Act Notice Below)*

1. REP. ID. NO. (If any)

2. Plant Registry/Basic Permit/  
Brewer's NO (Required) 3.

**PART I - APPLICATION**

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)

4. SERIAL NUMBER ( Required)

5. TYPE OF PRODUCT (Required)

YEAR	-				

- WINE
- DISTILLED SPIRITS
- MALT BEVERAGES

6. BRAND NAME (Required)

7. FANCIFUL NAME (If any)

8a. MAILING ADDRESS, IF DIFFERENT

9. E-MAIL ADDRESS

10. GRAPE VARIETAL(S)

11. FORMULA

18. TYPE OF APPLICATION (Check applicable box(es))

- a.  CERTIFICATE OF LABEL APPROVAL
- b.  CERTIFICATE OF EXEMPTION FROM LABEL APPROVAL  
"For sale in \_\_\_\_\_only" (Fill in State abbreviation)
- c.  DISTINCTIVE LIQUOR BOTTLE APPROVAL. TOTAL BOTTLE CAPACITY BEFORE CLOSURE \_\_\_\_\_  
(Fill in amount)
- d.  RESUBMISSION AFTER REJECTION  
TTB ID \_\_\_\_\_

12. NET CONTENTS

13. ALCOHOL CONTENT

14. WINE APPELLATION (If on label)

15. WINE VINTAGE DATE (If on label)

16. PHONE NUMBER  
( )

17. FAX NUMBER  
( )

19. SHOW ANY INFORMATION THAT IS BLOWN, BRANDED, OR EMBOSSED ON THE CONTAINER (e.g., net contents) 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, Application For and Certification/Exemption of Label/Bottle Approval.

20. DATE OF APPLICATION 21. SIGNATURE OF APPLICANT OR AUTHORIZED AGENT 22. 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.

23. DATE ISSUED

24. AUTHORIZED SIGNATURE, ALCOHOL AND TOBACCO TAX AND TRADE BUREAU

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QUALIFICATIONS

AFFIX COMPLETE SET OF LABELS BELOW (See General Instructions 4, 6, and 7)

## 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 N.W., 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 pages; 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, cross out information, and/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. Applicable only for applications submitted by a third party. If you are a third party filer (you represent TTB-regulated industry members) who does not already have a Representative ID Number, please contact TTB to obtain one. (See section IV for contact information.)
- ITEM 2. For bonded wine facilities and distilled spirits plants enter the applicable plant registry number (BW- 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 brewers 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. If you supply a mailing address we will return this form (paper filers only) to that address.
- ITEM 9. Provide the e-mail address of the person responsible for the application.
- ITEM 10. You must list in this block each grape varietal (if any) that appears on wine labels.
- ITEM 11. 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 (SOP). A formula is a quantitative list of ingredients and a step-by-step method of manufacture for alcohol beverages (wine, distilled spirits, 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 12. Indicate the container size(s) (net contents) covered by label(s) affixed to the application. You may indicate a range of sizes. You are not required to obtain separate certificates for each size container on which a label or set of labels will be used.
- ITEM 13. Enter the alcohol content if stated on the label.
- ITEM 14. Fill in only if a wine appellation of origin is stated on the label.
- ITEM 15. Fill in only if the wine vintage date is stated on the label.
- ITEM 16. Provide the phone number of the person responsible for the application.
- ITEM 17. Provide the fax number of the person responsible for the application.
- ITEM 18. 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 19. The instructions for this item are on the front of the form.
- ITEM 20. Enter date application is prepared or submitted.
- ITEM 21. The applicant or authorized agent must sign in this block. \_
- ITEM 22. 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, N.W., Box 12  
 Washington, DC 20005  
 Phone (202) 453-2250  
 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	YES	YES	YES	Includes words, text, illustrations, graphics, etc.
NEW 2. Reposition mandatory label information	YES	YES	YES	The repositioning must comply with any placement requirements applicable to that 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.	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.
4. Change the stated percentages for blends of grape varieties 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 varieties or appellations without submitting a new application.
5. Change or delete a vintage date for wine labels.	YES	N/A	N/A	If the vintage date is deleted, no reference to "Vintage" may be made on any label or other materials (e.g. caps, celloseals, corks, etc.) affixed to the bottle. If your label contains an organic claim, you must apply for a new certificate of label approval for each vintage.
6. Add, change or delete the stated amount of acid and/or the pH level for wine labels.	YES	N/A	N/A	
7. 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.
8. Add or delete bonded winery or taxpaid wine bottling house number.	YES	N/A	N/A	A bonded winery number must appear in direct conjunction with the bottler's name and address.
9. 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.
10. Change the mandatory statement of alcohol content, where such change does not result in a change of the tax classification (for wine) or the class and type designation (for all products) of the alcohol beverage product.	YES	YES	YES (Flavored Malt Beverages Only)	The change must not result in an alteration of the class or type designation of the product. For wine, the change must also not result in an alteration of the tax class. For example, if the approved label covers a wine with an alcohol content above 14% alcohol by volume, it cannot be used to cover a wine with an alcohol content at or below 14% alcohol by volume, as that wine is in a different classification for tax purposes. A new application would be required.
11. Add, delete, or change an optional statement of alcohol content a malt beverage label.	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.
12. 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.
13. Change the mandatory age statement, or delete or change an optional age statement for distilled spirits.	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.
14. Delete or change an optional age statement, including a barrel aging statement for wine and malt beverages.	YES	N/A	YES	Statements of age on wine labels must comply with 27 CFR 4.39(b).
15. 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.
16. Change the numerical values for calories, carbohydrates, protein, and fat contained in a statement of average analysis.	YES	YES	YES	Changes must be in compliance with TTB Ruling 2004-1.
17. 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).
18. Change the name and tradename of the responsible winery, distilled spirits plant, brewery, or importer.	YES	YES	YES	The name or trade name must appear on the basic permit or brewer's notice 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, you must submit a new application.
19. 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.
20. 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	
21. Add, delete, or change bottle deposit information.	YES	YES	YES	
22. Add, delete, or change a UPC code and/or QR code.	YES	YES	YES	Addition or change of UPC Code must be in compliance with Industry Circular 77-23. Any information retrieved from a QR code must be in compliance with all applicable advertising regulations.
23. Add, delete, or change a Web site address, phone number, fax number, or zip code	YES	YES	YES	
24. Add, change or delete a lot or batch identification number or other serial numbers.	YES	YES	YES	
25. Add, delete, or change trademark, copyright, and kosher symbols (e.g., TM, ©, ®), 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.
NEW 26. Add, delete or change optional information about awards or medals.	YES	YES	YES	
NEW 27. 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 label rules, including prohibited practices.

If you have questions about what is mandatory information and what is non-mandatory information, please contact ALFD. See Section IV for how to contact ALFD.

## 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, Washington, DC 20220.

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.

TTB F 5100.31 (05/2011)

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