



**NEVADA DEPARTMENT OF TAXATION**  
**3850 ARROWHEAD DRIVE**  
**CARSON CITY, NV 89706**  
**(775) 684-2000**

**APPLICATION FOR CERTIFICATE OF COMPLIANCE**

**SUBMIT \$50.00 FEE IN U.S. FUNDS FOR CURRENT FISCAL YEAR JULY 1 TO JUNE 30**

**A COPY OF FEDERAL BASIC PERMIT OR BREWERS NOTICE MUST BE SUBMITTED WITH THIS APPLICATION**

<b>1</b>	<b>Name of Company:</b>	<b>Phone No:</b>
<b>2</b>	<b>DBA, if any:</b>	<b>Fax No:</b>
<b>3</b>	<b>Address from where the Liquor Ships:</b>	<b>Zip Code:</b>
<b>4</b>	<b>Business Address:</b>	<b>Zip Code:</b>
<b>5</b>	<b>Mailing Address:</b>	<b>Zip Code:</b>
<b>6</b>	<b>Email Address:</b>	<b>7 FEIN No:</b>

The above named hereby applies to the Department of Taxation for a Certificate of Compliance, pursuant to Nevada Revised Statutes, Chapter 369.430.

<b>8</b>	<b>Application is being submitted for:</b> <input type="checkbox"/> New Business <input type="checkbox"/> Change in Name or Location <input type="checkbox"/> Additional Location
<b>9</b>	<b>Applicant will be selling to:</b> <input type="checkbox"/> Nevada wholesalers <input type="checkbox"/> Directly to Nevada consumers
<b>10</b>	<b>Business Entity Type:</b> <input type="checkbox"/> Corporation <input type="checkbox"/> LLC <input type="checkbox"/> Partnership <input type="checkbox"/> Individual <input type="checkbox"/> Other:
<b>11</b>	<b>List Owners, Officers, Members or Partners. Attach additional sheets if needed:</b>  _____  _____

<b>12</b>	<b>Business is Operating as a:</b> <input type="checkbox"/> Importer <input type="checkbox"/> Brewer <input type="checkbox"/> Distiller <input type="checkbox"/> Manufacturer <input type="checkbox"/> Producer <input type="checkbox"/> Vintner <input type="checkbox"/> Bottler of Liquor <input type="checkbox"/> Rectifier <input type="checkbox"/> Or the designated agent of one of these (copy of designation attached)
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<b>13</b>	<b><u>APPLICANT REQUIREMENTS IF GRANTED A CERTIFICATE OF COMPLIANCE:</u></b> (1) Must faithfully comply with all laws of the State of Nevada pertaining to the sale and shipping of liquors into Nevada and to comply with all rules and regulations of the Department of Taxation; (2) submit a completed EXC-C023 for each designated Importer/Wholesaler; (3) submit to the Department an EXC-F008, on or before the 10th of each month, if shipping directly to Nevada licensed Importer/Wholesaler (4) submit to the Department a LIQ- STC tax return, on or before the 20 <sup>th</sup> of the month, only after shipping directly to a Nevada consumer.
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**The Department may contact you regarding possible additional licensing requirements.**

<b>14</b>	<b>APPLICANT'S AFFIRMATION: I declare under penalty of perjury that the information provided is true, correct and complete to the best of my knowledge and belief and acknowledge that pursuant to NRS 239.330, it is a category C felony to knowingly offer any false or forged instrument for filing. In addition, I have read NRS 369 and understand that I am expected to comply with Nevada liquor laws and all federal laws. Noncompliance will result in revocation of my Nevada certificate of compliance liquor license.</b>
	Signature of Responsible Party:  Name:  Title:
	<b>15</b> Date:

<b>16</b>	<b>Authorized Agent (Compliance Company) – Attach Power of Attorney with application to be authorized.</b>
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**For Department Use Only:** Application Approved:  Yes  No

Date: \_\_\_\_\_ Initial: \_\_\_\_\_ PM Date: \_\_\_\_\_ Amt: \_\_\_\_\_ Ck No: \_\_\_\_\_

## CERTIFICATE OF COMPLIANCE APPLICATION INSTRUCTIONS

**Supplier/Certificate of Compliance Holder** – (NRS 369.430) The first person having ownership of alcohol in the United States, holding a valid Certificate of Compliance to ship to Nevada importers, and/or directly to Nevada consumers.

**Limitations on engaging in business of importing, wholesaling or retailing alcoholic beverages** – (NRS 597.210) A supplier shall not engage in the business of importing, wholesaling or retailing alcoholic beverages.

1. **Name of Company:** Enter the name as registered on the State Business License.
2. **DBA:** Enter the name as it will be known to the public. The name you will be doing business as. A trade name listed on your TTB permit can also be used.
3. **Address from where the Liquor Ships:** Enter the liquor shipping address. If the address is different than what is listed on your Federal Basic Permit issued by the Alcohol and Tobacco Tax and Trade Bureau (TTB), please complete and submit the Certificate of Compliance Address Affidavit attached to this application.
4. **Business Address:** Enter in the complete company address.
5. **Mailing Address:** This address will be used by the Department to mail licenses, renewals and correspondence.
6. **Email Address:** Enter Email (Internet) Address Information.
7. **FEIN:** Enter the Federal Tax Identification Number for this business. For information regarding a FEIN, contact the Internal Revenue Service at 1-800-829-4933 or go to <http://IRS.gov/businesses>. If you have applied for your number and have not received it, write “PENDING”. If your FEIN changes, you must complete a new Application.
8. **Application is being submitted for:** Check if you are applying for a new business, if the licensed name or location has changed or if adding a new location. Please note: Any changes to your name or location must be reflected on your federal basic permit.
9. **Applicant will be selling to:** Check the boxes that apply. You may check both boxes if both apply, if applicable by statute.
10. **Business Entity Type:** Indicate entity type as filed on your State Business License.
11. **List Owners, Officers, Members, Partners, etc.:** Include the full name and title of each owner, officers, members, partners, etc. for the business.
12. **Business is Operating as a:** Indicate the type of business that the company will be operating as in Nevada.
13. **Applicant Requirements:** (1) Comply with Taxation rules and regulations; (2) file a Designation and Acceptance form (EXC-F008) filled out by the supplier, accepted by signature of the Importer/Wholesaler, and returned to the Department’s Carson City office prior to shipping to Nevada; (3) file a Report of Shipment (EXC-F008) on or before the 10<sup>th</sup> of each month, only if shipping to Nevada Licensed Importers/Wholesalers; (4) file a EXC-F068 Supplier Liquor Excise Tax Return Sales to Consumers with corresponding invoices on or before the 20<sup>th</sup> of the month, only for months that you shipped directly to Nevada consumers.
14. **Applicant’s Affirmation (required):** Legal signatures include sole proprietor- owner, corporate officer, managing member, partner or power of attorney holder (must be attached). By signing the application you are making a declaration the information provided is correct and you have read and understand NRS 369.
15. **Date:** Date the document was signed by responsible party.
16. **Authorized Agent:** Any authorized agent, such as a compliance company, must attach a Power of Attorney from the business to be registered in order to be authorized on the account.

**Submit the completed application with the \$50 license fee, a copy of your Federal Basic Permit or Brewers Notice and, if applicable, a Power of Attorney to the Carson City address.**

Account #: \_\_\_\_\_

**NEVADA DEPT OF TAXATION**

**CERTIFICATE OF COMPLIANCE ADDRESS AFFIDAVIT**

I, \_\_\_\_\_ hereby swear and affirm that the following is true and correct.  
Authorized Person

I declare that the address provided below is the location from where the liquor will be shipped for Certificate of Compliance Holder \_\_\_\_\_,  
Entity Name

\_\_\_\_\_  
DBA Name

Shipping Address: \_\_\_\_\_

City: \_\_\_\_\_

State: \_\_\_\_\_ Zip: \_\_\_\_\_

Is this location owned by the applicant(s):      Yes      No

Is this a warehouse or fulfillment (logistic) center:      Yes      No

If yes, is this a bonded: (check applicable box(es))      warehouse      customs bonded warehouse  
private bonded warehouse

Please provide a brief explanation of why the liquor does not ship from the Certificate of Compliance location listed on the Federal Basic Permit.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Please explain in detail how the product leaves (ships) from the location where it is originally manufactured and finally warehoused at the shipping location provided above:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

CERTIFICATE OF COMPLIANCE ADDRESS AFFIDAVIT SIGNATURE  
PAGE

\_\_\_\_\_  
Signature of Authorized Person                      Date

\_\_\_\_\_  
Title

\_\_\_\_\_  
Address

\_\_\_\_\_  
Telephone Number

**Please provide a copy of your Federal Basic Permit showing the actual Certificate of Compliance location.**



STATE OF NEVADA  
DEPARTMENT OF TAXATION

MAIN OFFICE  
3850 Arrowhead Drive  
Carson City, Nevada 89706

JOE LOMBARDO  
*Governor*

GEORGE KELESIS  
*Chair, Nevada Tax Commission*

SHELLIE HUGHES  
*Executive Director*

**MANDATORY QUESTIONNAIRE - Certificate of Compliance Holders**

Below are questions which must be answered in their entirety for the Department to determine your business model.

Please answer the questions below in their entirety and return with the Certificate of Compliance packet to the Department, via postal mail to: 3850 Arrowhead Drive, Carson City, NV 89706.

Are you applying to attend an upcoming event in Nevada?      Yes      No

If yes, please provide:

Name of Event: \_\_\_\_\_

Date of Event: \_\_\_\_\_

Location of Event: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

Does your business (check all that apply):    Brew    Distill    Manufacture    Rectify    Produce  
Operate a Winery    Bottle the Liquor for Which You Are Applying?

1. Are you engaged in contractual manufacturing/brewing?    Yes    No    If yes, please provide a copy of the contractual agreement.

2. Are you a designated agent for a (check all that apply)    Brewer    Distiller    Manufacturer  
Operate a Winery    Rectifier    Producer    Vintner or    Bottler of the Liquor

If yes, please list all companies you hold a designation and provide documentation of the designation from the manufacturer(s):

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

3. Are you a retailer of liquor in your state? Yes  No  Retailers may include a stand-alone brick and mortar store in which consumers can purchase your products at retail or an online retail store. If yes, please describe how your retail business operates below:

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4. Do you sell/intend to sell alcohol direct to consumers in Nevada? Yes No If yes, what alcohol do you sell direct to consumers in Nevada? Wine Beer Distilled Spirit

5. Do you operate a wine of the month club? Yes No Beer of the month club? Yes No

6. Do you sell/intend to sell liquor to State of Nevada Wholesalers/Importers? Yes No

7. Is/are the applicant(s) engaged in or hold any ownership or partial ownership of a retail business? Yes No

<b>Taxpayer Acknowledgment</b>	
<b>I, the undersigned, attest I am an owner or authorized representative of the company and I have completed the questions above and, to the best of my knowledge and belief, the above answers are true, correct, and complete.</b>	
Name:	TID & Location:
Title:	Date:
Email Address:	
Signature:	

**Per NRS 369.040 "Liquor" defined:** 1. "liquor" means beer, wine, gin, whiskey, cordials, ethyl alcohol or rum, and every liquid containing one-half of 1 percent or, 2. Any liquid containing beer or wine in combination with any other liquor shall not be construed to be beer or wine.

**Per NRS 369.111 "Supplier" means, with respect to liquor which is brewed, distilled, fermented, manufactured, rectified, produced or bottled:**

1. Outside the United States:
  - (a) The brewer, distiller, manufacturer, producer, rectifier, vintner or bottler of the liquor, or his or her designated agent; or
  - (b) The owner of the liquor when it is first transported into any area under the jurisdiction of the United States Government, if the brewer, distiller, manufacturer, rectifier, producer, vintner or bottler of the liquor, or a designated agent of such a person, has not designated an importer to import the liquor into this State;
2. Within the United States but outside this State, the brewer, distiller, manufacturer, rectifier, producer, vintner or bottler of the liquor, or his or her designated agent; or
3. Within this State, the brewery, brew pub, distiller, craft distillery, manufacturer, rectifier, producer or bottler of the liquor or his or her designated agent.

**Per NRS 369.490 Unlawful possession, sale or transportation of liquor; exceptions.**

1. Except as otherwise provided in subsection 2 and NRS 369.176 and 369.489, a person shall not directly or indirectly, himself or herself or by his or her clerk, agent or employee, offer, keep or possess for sale, furnish or sell, or solicit the purchase or sale of any liquor in this State, or transport or import or cause to be transported or imported any liquor in or into this State for delivery, storage, use or sale therein, unless the person:
  - (a) Has complied fully with the provisions of this chapter;
  - (b) Holds an appropriate, valid license, permit or certificate issued by the Department; and
  - (c) Has been duly designated by the supplier of that liquor pursuant to NRS 369.386 or purchased the liquor in compliance with NRS 369.486.