OMB NO. 1513-0122 (5/31/2028)

FOR TTB USE ONLY

TTB ID

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

FORMULA AND PROCESS FOR DOMESTIC AND IMPORTED ALCOHOL BEVERAGES

(See Instructions and Conditions at the end of this form)

FORMULA #:

SUPERSEDING FORMULA ☐

1. NAME AND ADDRESS OF APPLICANT / IMPORTER *(See Instructions):*

2. CONTACT PERSON'S PHONE NUMBER / E-MAIL ADDRESS:

3. PLANT REGISTRY / BASIC PERMIT / BREWER'S NUMBER:

1a. MAILING ADDRESS *(If different than above)* / FOREIGN PRODUCER'S ADDRESS:

4. CLASS AND TYPE OF PRODUCT:

5. PRODUCT NAME:

6. QUANTITATIVE LIST OF INGREDIENTS (*If more space is needed, use space at the top of the next page or separate sheet):*

7. METHOD OF MANUFACTURE / PROCESS OF PRODUCTION (*If more space is needed, use space at the top of the next page or separate sheet):*

8. TOTAL YIELD:

9. ALCOHOL CONTENT OF FINISHED PRODUCT (*range may be shown*):

9a. AMOUNT OF ALCOHOL FROM FLAVORS:

9b. AMOUNT OF ALCOHOL FROM BASE:

10. PRINTED NAME OF APPLICANT / IMPORTER:

11. BY (*Signature and Title)*

12. DATE:

FOR TTB USE ONLY (Items 13, 14, 15, and 16)

13. **FORMULATION:**

WINE PRODUCTS

☐ Approved subject to the provisions of 27 CFR

DISTILLED SPIRITS PRODUCTS

☐ Harmless coloring, flavoring, or blending materials must not total more than 2.5% by volume of the finished product.

☐ Sugar, dextrose, or levulose or a combination thereof must be used in an amount not less than 2.5% by weight of the cordial or liqueur.

☐ The use of refining agents must not alter the basic composition of the spirits.

☐ The blended whiskey must contain not less than 20% straight whiskey on a proof gallon basis.

LABELING (*finished product only):*

☐ The designation of the product must include a truthful and adequate statement of composition, such as

☐ Commodity statement

☐ The label must indicate the use of:

- ☐ caramel color
- ☐ certified color (*other than FD&C Yellow #5)*
- ☐ artificial flavor
- ☐ FD&C Yellow #5
- ☐ allergen(s):
- ☐

14. DATE:

15. APPROVED – TTB SPECIALIST FOR THE ADMINISTRATOR, ALCOHOL AND TOBACCO TAX AND TRADE BUREAU

16. EXPIRES (IMPORT ONLY):

6. QUANTITATIVE LIST OF INGREDIENTS *(Continued):*

7. METHOD OF MANUFACTURE / PROCESS OF PRODUCTION *(Continued):*

GENERAL INSTRUCTIONS

Every person who is required to file a formula under 27 CFR Parts 4, 5, 7, 19, 24, 25, and 26 must submit this form to the **Advertising, Labeling, and Formulation Division, Alcohol and Tobacco Tax and Trade Bureau, 1310 G Street, NW, Box 12, Washington, DC 20005.** Permit approval and formula approval are required prior to manufacture/importation of any product requiring a formula. Production may commence upon receipt by the proprietor of an approved formula on TTB F 5100.51.

The number of copies to be filed is as follows: one copy for TTB's records, and either one additional copy, or one additional copy for each facility identified in Item 1.

If the formula is approved, one copy will be retained by TTB and the remaining approved copy(ies) will be sent to the addressee. The addressee will forward approved copies (or two-sided reproductions) to each facility identified in Item 1.

SPECIFIC INSTRUCTIONS

Formula # and Formula Superseded.
Number the formulas in sequence commencing with the number "1." An applicant who has more than one facility must use a unique system of serial numbers that does not duplicate any formula number used at any plant. If this formula will supersede a previous approved formula with the same formula number, please check the box.

Item 1. Enter the name and complete address of the applicant or importer, and the city and state for all other facilities where the product will be produced if the product is produced domestically.

Item 1a. ***(For Domestic Products)*** Enter the complete mailing address of the applicant if different than the information in Item 1.
(For Imported Products) Enter the complete name and mailing address of the foreign producer.

Item 2. Enter the contact person's full phone number including area code and extension, if necessary.

Item 3. Enter the plant registry/basic permit/brewer's notice number for each facility that will produce or import the product.

Item 4. The class and type must conform to one of the class and type designations in the regulations issued under the Federal Alcohol Administration Act. Wine products containing less than 7 percent alcohol by volume must be designated in accordance with the labeling regulations 27 CFR Part 24 and the Federal Food, Drug and Cosmetic Act, 21 CFR. Do not show a brand or fanciful name in item 4.

Item 5. Enter the brand or fanciful name in item 5 (does **NOT** constitute approval for use on a label). If a brand or fanciful name has not yet been chosen, leave item 5 blank.

Item 6.

(a) Specify the kind and quantity of each and every material or ingredient to be used in the formulation of a batch of the product, e.g., 100 gallons, 1000 gallons, 100 barrels.

(b) Identify all coloring agents added directly to the product or contained in flavor materials. Certified food colors must be identified by FD&C number, for example "FD&C Yellow No. 5."

(c) Identify flavoring or blending materials by the name of the flavor or blender, name of the flavor or blender proprietor, proprietor product number (if none, so indicate), drawback formula number (if none, so indicate), city and state of the flavor manufacturer, date of approval of the nonbeverage formula, alcohol content of the flavor or blender (if nonalcoholic, so indicate), and a description of any coloring material contained in the flavor or blender.

(d) Identify all allergens added directly to the product or contained in the flavor materials. Allergens may include Crustacean shellfish, fish, soy (soybean(s), soya), wheat, milk, eggs, peanuts, or tree nuts. For shellfish and tree nuts, the label and formula must indicate the specific type or species.

(e) Identify the use of any artificial sweeteners.

Distilled Spirits only:

(f) If any type of wine (including vermouth) is to be used in the product, state the kind, percentage of wine to be used, whether the wine is domestic or imported, whether the wine contains added wine spirits, and the percentage of alcohol by volume of the wine, and the amount of alcohol.

(g) If the finished product is to be labeled as containing a particular class and type of distilled spirits (such as "Blackberry Liqueur & Brandy" or "Coffee Liqueur & Non-Dairy Creamer") the ingredients used to produce the particular class and type of distilled spirits must be listed in a manner so that they are distinguishable from the remaining ingredients for the finished product.

Item 7. Show in sequence each step employed in producing the product including the step at which the specified materials will be added and the approximate period of time to complete production.

(For Malt Beverages) Describe in detail each special process used to produce a beer product. Omit processes customarily used in brewing such as pasteurization or ordinary filtration.

Item 8. Enter the total yield of the finished product, e.g., 150 gallons, 1500 gallons, 150 barrels.

Item 9. If the product is to be bottled at more than one alcohol content within the same tax rate, state the alcoholic content as a range to include all alcoholic contents at which the product will be bottled, provided that the product does not change class and type.

Item 9a. ***(For Malt Beverages)*** Enter the percentage of alcohol derived from flavors or other materials containing alcohol.

Item 9b. ***(For Malt Beverages)*** Enter the percentage of alcohol derived from the malt base of the product.

Item 10. ***(For Domestic Products)*** Applicant is the person required to file a formula under TTB regulations.
(For Imported Products) Importer is the person who imports the product.

CONDITIONS FOR FORMULA APPROVAL

This approval is granted under 27 CFR Parts 4, 5, 7, 19, 24, 25, and 26 and does not in any way provide exemption from or waiver of the provisions of the Food and Drug Administration regulations relating to the use of food and color additives in food products.

Addition of remnants or returned merchandise to a completed product made under the same formula is permitted.

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 Federal laws and regulations we administer for the formulation of alcohol beverages. The information is mandated by statute (26 U.S.C. Chapter 51) and is used to obtain a benefit. The information collected on this form must be considered confidential tax information under 26 U.S.C. 6103, and must not be disclosed to any unauthorized party under 26 U.S.C. 7213. We estimate 2 hours 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: Paperwork Reduction Act Officer, Regulations and Rulings Division, Alcohol and Tobacco Tax and Trade Bureau, 1310 G Street, NW., Box 12, Washington, DC 20005. (Please do NOT mail completed forms to this address.)
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.