



**Excise Warehousing**

**Trade Facility Warehouse**

**Application and Amendment Form**

Before completing this form see Notice 197 or 197A or 197B

When you have completed and signed this form, please send it to

HM Revenue & Customs  
National Registration Unit  
Portcullis House  
21 India Street  
Glasgow  
G2 4PZ

**For office use**

Date of receipt

## **General Notes for Application for Approval as a Trade Facility Warehouse or Amendment of an Existing Approval**

Please read these notes before you fill in the application form **EX69**

- **Read** Notice 197 Excise Goods: Holding and Movement and, if appropriate, Notices 197A Excise Goods: Holding and Movements (Export Shops) or 197B Excise Goods: Aircraft store floors.
- **Write clearly** - please use **black** ink and write in capital letters.
- **Include all the information required** - failure to do so may delay processing of your application.
- **Ensure** that you sign and date your application.

**Box 1**

Tick **Yes**, if your business is registered for VAT in the United Kingdom and enter your VAT registration number in the box.

**Box 2**

If you are VAT registered, enter your VAT registered address.

**Sole proprietor:** If you are a sole proprietor, give your title (for example, Mr, Mrs or Ms) followed by your first name in full and your surname. Do not use initials.

**Partnership:** If your business is a partnership, give the trading name.

**Limited company:** If your business is a limited company, give the company name.

**Box 3**

Give your trading name if it is different from the name given at Box 2.

**Box 4**

You need only complete this box if you are **not** registered for VAT.

**Box 5**

Indicate whether this is an application for a new excise warehouse approval or a request to amend an existing warehouse approval. If it is an application to amend an existing approval, you need only complete those sections where changes are being sought. However, you must complete the whole of any section where a change is being sought (for example, where you wish to permanently change the opening hours of the warehouse for one day of the week only, you must complete the whole of Q12.)

**Box 6**

Please indicate the type of Trade Facility warehouse you intend to operate. Where other is selected give the purpose for which Trade Facility status is required. (See section 22, Notice 197).

**Box 7**

If you are not already an authorised warehousekeeper, you must have submitted an application (on form EX61) to become one **before** we can consider **this** application. Alternatively, you can enclose one with this application and both forms will be dealt with at the same time.

**Box 8**

Please give the address of the premises to which this application relates. If the premises are already approved as an excise warehouse, for instance this application is for an amendment to an existing approval, please insert the warehouse approval number. You must remember to attach 3 copies of a site plan if the application is for a new warehouse or involves changes to the site of an existing warehouse.

**Box 9**

Indicate whether the premises are leased or owned. If leased, please give the name, address and VAT registration number of the lessor.

**Box 10**

If the application relates to the approval of a new annex warehouse, or changes to the areas currently approved to store duty suspended goods, you must attach 3 copies of a site plan to your application.

**Box 11**

Please enter the number of any excise warehouse approval that will be cancelled if this application is successful.

**Box 12**

Please indicate the opening hours required to enable the warehouse to meet the identified trade need. Any permanent alterations to these hours need to be notified as an amendment to the approval.

**Box 13**

Please indicate those classes of goods that you wish to store in the warehouse to meet the identified trade need.

**Box 14**

Please indicate the operations that you need to perform on duty suspended goods.

**Box 15**

If you wish to store duty paid or non-excisable (for instance not liable to excise duty) goods within the area of the warehouse, you must show that your systems are capable of easily identifying such goods at all times.

**Box 16**

We will not grant approval for existing premises until we have accepted a valid premises guarantee. If you already hold one, please insert the amount and allocated reference number. (See section 11, Notice 197, for details of how this is calculated).

**Box 17**

In most situations, a movement guarantee is required when excise goods are moving in duty suspension. This may be provided by the dispatching warehousekeeper, the owner of the goods or the transporter. If you wish to apply for a movement guarantee, you need to be aware that you will be liable for any excise duty that becomes due as a result of an irregularity during any movement for which you provide the guarantee. The liability level quoted in the guarantee applies solely to the financial institution (for example bank) that underwrites it. Your liability would be unlimited. (See section 12, Notice 197).

**Box 18**

We will not consider approving a warehouse until we are satisfied that the intended stock and accounting systems are sufficiently robust. If you plan to use manual systems, please provide brief details. If you plan to use computer based systems, please give details of the software package (included version) you intend to use. You should not assume that your proposed IT arrangements will be acceptable solely because another warehouse operates similar systems. Note you will need to have a disaster recovery plan available for inspection during the pre-approval visit to the premises.

**Box 19**

We will not consider approving a warehouse until we are satisfied that our officers can work in a healthy and safe environment. Please indicate whether you hold a Health and Safety risk assessment. Please note you will need to have this available for inspection during the pre-approval visit to the premises.

**Box 20**

Please do not forget to sign and date the application form.

**Don't forget to attach any additional documentation required for example**

- a copy of any current approval
- 3 copies of a site plan outlining areas where you intend to hold duty suspended goods
- details of how duty paid or non-excisable goods will be identified.

**Excise Warehousing  
Trade Facility Warehouse  
Application for Approval/Amendment**

EX69(Notes), 'General Notes for Application for Approval' will help you answer the questions on this form.

Please write clearly in **black** ink and use capital letters.

Postcodes must be completed or approval will be refused.

**1** Are you registered for VAT in the UK?

- If yes, please give your VAT registration number.

Please tick Yes  No

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**2** Please give your full name and address.

- If registered, please enter your VAT registered address.

Name:

Address:

Postcode:

Tel number:

Fax number:

E-mail address:

**3** Please give your trading name (if different from the name given at 2).

Trading name:

**4** What is the legal status of your business?

- You only need complete this section if you are **not** registered for VAT.

Please tick

Sole Proprietor  Other   
(please specify)

Partnership

Limited Company

Give details from your certificate of incorporation  
(if applicable)

Certificate number  Date of certificate

**5** Is this an application for a new warehouse approval or amendment of an existing warehouse approval?

- If this is an application for an amendment, please attach a copy of your current approval (excluding site plans, unless these are going to change).

Please tick

New  Amendment

**6** What type of Trade Facility warehouse do you intend to operate?

- Please indicate.

Please tick

Aircraft store floor

Export shop

Other

If 'other' has been selected, please indicate in the box below the purpose for which Trade Facility warehouse status is required.

**7** Are you an authorised warehousekeeper?

- If yes, please insert your registration number.
- If no, please insert the date of application for authorised warehousekeeper status.

Please tick

Yes  No

Number:

Date of application:

8

Please give the address of the premises to which this application relates

- If the premises are already approved as an excise warehouse please enter the warehouse approval number.
- Please attach 3 copies of a site plan with the areas where you intend to hold duty suspended goods clearly marked.

Warehouse name:	<input type="text"/>
Address:	<input type="text"/>
	<input type="text"/>
	<input type="text"/>
	Postcode
Tel number:	<input type="text"/>
Fax number:	<input type="text"/>
E-mail address:	<input type="text"/>
Warehouse approval number:	<input type="text"/>
Trading name if different from Warehouse Name:	<input type="text"/>

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Are the premises owned or leased?

- If leased, please give the name, address and VAT number of the lessor.

Please tick	
Owned	<input type="checkbox"/>
Leased	<input type="checkbox"/>
Lessors name:	<input type="text"/>
Address:	<input type="text"/>
	<input type="text"/>
	<input type="text"/>
	Postcode
Tel number:	<input type="text"/>
Fax number:	<input type="text"/>
E-mail address:	<input type="text"/>
VAT number:	<input type="text"/>

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Are you applying for an annex warehouse to be operated in conjunction with the premises shown at 8?

- If yes, please give the address of the annex premises.
- Please attach 3 copies of a site plan with the areas where you intend to hold duty suspended goods clearly marked.

Please tick

Yes  No

Warehouse Name:

Address:

Postcode

Tel number:

Fax number:

E-mail address:

Warehouse approval number:

Trading name if different from Warehouse Name:

11

If this application is successful, will an existing excise warehouse approval for another site be cancelled?

- If yes, please enter the warehouse approval number.

Please tick

Yes  No

Warehouse approval number:

12

What are the intended opening hours of the warehouse?

Day	From	To	For official use	
Monday				
Tuesday				
Wednesday				
Thursday				
Friday				
Saturday				
Sunday				

What classes of goods do you wish to be able to accept into the warehouse?

- Please place a tick alongside the relevant goods.
- Where you wish to store all products of a particular type, please tick the **all** heading and ignore any subdivisions (eg tick all tobacco products and ignore cigarettes, cigars, etc).

Tick all classes of goods for which you are seeking approval	Please tick	For official use
<b>Tobacco products:</b>		
• all tobacco products		
- cigarettes		
- cigars and cigarillos		
- rolling tobacco		
- other smoking tobacco		
For official use: SEED indicator		
<b>Beer:</b>		
• all beers		
<b>Wine</b>		
• all wines		
- non-sparkling wine		
- sparkling wine		
<b>Intermediate products (fortified and made-wine between 15% and 22%):</b>		
• all intermediate products		
<b>Cider and perry:</b>		
• all ciders and perrys		
<b>Spirits:</b>		
• all alcohol		
- spirituous beverages		
- Ethyl alcohol		
- denatured alcohol		
- other products containing Ethyl alcohol		
For official use: SEED indicator		



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Are you applying for permission to perform operations on warehoused goods?

- If yes, please place a tick alongside the relevant operation.

Please tick Yes <input type="checkbox"/> No <input type="checkbox"/> Tick all types of operations for which you are seeking approval	Please tick	For official use
<b>Tobacco products:</b>		
- repacking		
<b>Alcoholic Liquors (bulk):</b>		
- bottling		
- canning		
- cask and keg racking		
- cask rinsing		
- colouring		
- denaturing		
- disgorging from case to cask		
- filling		
- filtering		
- fining		
- mixing of goods of different sorts		
- pasteurising		
- priming of beer		
- racking from cask to cask		
- reducing spirits		
- stabilising and preserving		
- sweetening		
- vatting or blending and racking into casks or drums		
- fortifying made-wine		
- fortifying wine		
- mixing beer or wine with made-wine to produce made-wine		
- production of beverages/foodstuffs of low alcoholic strength qualifying for duty relief		
- rectifying and compounding spirits		
- rendering made-wine sparkling		
- rendering wine sparkling		
<b>Alcoholic liquors (cased):</b>		
- adjusting and re-packing		
- packing		
- labelling and re-labelling bottles		
- re-marking or re-numbering packages		
<b>For official use:</b>		

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Do you wish to store duty paid or non-excisable goods within the area of the warehouse?

- If yes, please indicate which.
- If yes, please attach details of how they will be identified (eg physical segregation, stock marking, etc).

Please tick			
Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Duty paid	<input type="checkbox"/>	Non-excisable	<input type="checkbox"/>

**16**

Is a premises security held?

- If yes, please show the amount and insert the reference number.

Please tick

Yes  No

£

Reference number

**17**

Do you wish to apply for a movement guarantee?

- If yes, please show the projected duty on an average week's movement.

Please tick

Yes  No

£

**18**

Will your stock record and accounting system be manual or computerised?

- If manual, please provide brief details.
- If computerised, please provide details of the software package to be used and indicate whether you have a disaster recovery plan.

Please tick

Manual  Computerised

Details:

**19**

Do you hold a Health and Safety risk assessment?

- If no, you will need to ensure that one is available for inspection during the pre-approval visit to the premises.

Please tick

Yes  No

Please sign the declaration.

**Declaration**


(enter your full name in capital letters)

I declare that the information given on this form and contained in any accompanying document is true and complete.

Signature:

Date:

Please tick

Sole proprietor

Director

Trustee

Partner

Company secretary

Authorised official

**Data Protection Act****How we use your information**

HM Revenue & Customs is a Data Controller under the Data Protection Act 1998. For more information go to [www.hmrc.gov.uk](http://www.hmrc.gov.uk) and look for Data Protection Act within the Search facility.

**For official use only**

LVO code reg no:

Approved/refused:

Keyers initials:

Date

Keyed

EDR: