

LISTING *Iowa Alcoholic Beverages Division* MANUAL

listing your product in the state of Iowa



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Section One - Listing

Listing Process

The administrator has the authority to determine “the class, varieties, and brands of alcoholic liquors to be kept in state warehouses” pursuant to Iowa Code section 123.21(3). The determination as to class, varieties, and brands of alcoholic liquors begins with the listing process. The process begins when an actively licensed broker or distiller presents a product to the Iowa Alcoholic Beverages Division (Division) for listing consideration. The product management team takes into consideration the product, packaging, category trends, innovation, saturation, social responsibility, marketing and taste profile when determining whether or not to make the product available to Iowa consumers.

Listing Liquor Products

- All listing presentation requests shall be submitted to the administrator or their designee.
- Listing presentations will be conducted via telephone or video conferencing. Any exceptions will need to be approved by the Bureau Chief of Spirits and Distribution.
- Quote forms and listing criteria forms must be submitted electronically for all products presented. Required information on the quote form includes but is not limited to, the NABCA code, bottle weight, bottle dimensions, UPC, SCC, cases per pallet, cases per layer, total invoice cost per case and the representative for the state at the time of presentation. Inaccurate information on quote forms and listing criteria forms may result in accessorial charges to the supplier.
- All requests for new items will be answered no later than 14 days following the presentation date.
- The Administrator or the Administrator’s Designee reserve the right to deny or limit the number of permanent product listing requests. Suppliers with more than 3 percent of listed products out of stock may not be allowed a listing meeting at the discretion of the Division.
- Currently, non-traditional spirits products that are not in liquid form are not eligible for listing presentations.
- To list a product in Iowa, please contact the Division’s product services specialist.

Licensing Requirements

Before product can be shipped to the Division, the supplier must have a valid license to manufacture and/or import their product. Out of state suppliers must have a Distiller’s Certificate of Compliance (CD), also known as an Importer’s License. Iowa supplier must have either a Liquor Manufacturer’s License (CM) or a Microdistiller’s License (MD). Any questions regarding licensing requirements may be directed to the Bureau Chief of Licensing and Regulation.

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Image & Description Submission – Newly Listed Items

When a product is listed in Iowa, suppliers must submit a verbose description and image to be used for the customer facing ecommerce site.

Verbose descriptions for each product will be displayed on individual product pages. Suppliers have up to 500 characters to describe the product for customers. Do not include any information that will be displayed in other ways such as UPC code, pack size, price, etc. Sample verbose description: "Iowa Whiskey sets the standard with layers of flavor from hand-selected, rare casks from across the Midwest. Its flavors are influenced by the rich soil of Iowa and the sweet corn that is grown locally."

Images must meet the below requirements:

File Format:

- Preferred: JPG
- Acceptable: PNG, GIF

File Resolution Requirements:

- 72 dpi
- 200-300 pixel width
- 450-550 pixel height

File Size:

- Maximum 200k

Color Mode:

- RGB Color

File Name:

- NABCAcode.extension
Ex: 017745.jpg, 062134.png
- Use the 6 digit NABCA code for the file name. Remove the prefix and suffix numbers.
- Each listed item size must have its own image. Do not use a single image for multiple sizes.
- Groupings of items packaged together and sold as one item, (Ex: 10 pack of 50ml bottles, 4 pack of cans) should feature the pack or sleeve, not the single container.

Image Background:

- Preferred: Clipped out, solid white or transparent background.

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- Acceptable: Solid color background.
- Required: Backgrounds cannot have patterns, gradients, accompanying items or text/graphic overlays.

Images and verbose descriptions should be emailed to lversen@lowaABD.com within 2 weeks of receiving a listing notification. Please include the product code(s) in the email.

Highly Allocated Products

- Highly allocated products are products that are brought in on a very temporary basis, are not listed products and are highly limited in supply. These products are not solely driven by a customer request but by the Division accepting or declining the Iowa allocation from the supplier.
- Highly allocated products are not available via special order by Class E licensees.
- Highly allocated products may be subjected to a lottery for distribution to Class E licensees.
- Allocations to the Division should be communicated to the Bureau Chief of Spirits and Distribution as soon as the supplier is aware of the timing and quantities associated with those products.
- To have your product included in the Division's highly allocated product program please contact the Bureau Chief of Spirits and Distribution.

Size Extensions

- The Division's general policy requires listed size(s) must achieve and maintain significant annual sales of \$60,000 in revenue or 480 cases before and after a listing of additional sizes.
- The Division retains discretionary authority when making decisions on new multiple size listing requests whether the revenue and case thresholds are met or not.

Listing Status

Upon approval of the listing, the item will be assigned a status of a regular bailment or special order listing.

- Special order brands received into the warehouse are to fill a wholesale or retail customer request.

Label Approval & Product Code Number

Alcohol and Tobacco Tax and Trade Bureau (TTB) Label Approval must be obtained prior to any product being listed in Iowa. Once label approval has been obtained, an application must be submitted to the National Alcohol Beverage Control Association (NABCA) (703.578.4200) for a Control State Code Number (CSC). Each case shall display the CSC, Universal Price Code (UPC) and Shipping Container Code (SCC) numbers and bar-codes.

Section One - Listing

Product Availability

- All products listed must be available to all licensees. This includes all permanent, temporary and special order items as stated in Iowa Code chapter 123.22 and 123.24 (1).
- Any products presold must not cover the entire supply available to the State of Iowa; every attempt should be made to have product available that is not presold for other licensees in the state.
- The division makes no guarantees to suppliers or brokers that presales will be honored or that customers will receive the requested amount of product presold to them.

Trading Product

- Items that are under the revenue criteria to be delisted may be traded out for new permanently listed products.
- The new product that is proposed must have a formal listing presentation.
- A supplier may choose to trade out a product from their portfolio to list another product. This trade needs to be acknowledged at the time of the listing meeting. The division retains discretionary authority as to whether to accept or decline the new product that is traded out for.
- Products that are already acknowledged as delisted cannot be traded out; trading out must be done before the product has been delisted by the Division. Products traded in must meet and follow the size extension requirements.
- Any product traded out of the supplier's portfolio will be delisted; all remaining inventory will need to be picked up from of the Division's warehouse before the new product is brought in. (Dates will be outlined in the listing letter.) Traded out product will not be assessed accessorial fees for pickup and handling unless the product is not picked up by the deadline given in the listing letter.

Value Added Packs

- If the value added pack item has a different bottle-per-case count and is different than the regular product (without promotional item), the package must have a UPC and SCC number that is unique to the value added pack and placed so that it can easily be scanned. The Division's decision to approve any value added packs will be based on the quality of the premium item, its relationship to the specific product, and the sales potential of the package.
- The Division must approve the value added packs prior to presales occurring with licensees.
- Value added packs may be broken down and the liquor products placed with other regular priced bottles at the discretion of the Division. The supplier will be charged an accessorial fee for this procedure.
- Code conversion disposition of promotional items are at the Division's discretion. The supplier will be charged an accessorial fee for this procedure.
- Any value added packs left after 90 days shall be picked up by the supplier following the dates listed in the letter or notification sent, with an incidental charge assessed .

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- Value added packs sent in without correct case coding, improper packaging or UPC labeling may be returned to supplier at the Division's discretion irregardless of pre-sales.

Temporary Listings

- The Division's decision to approve any temporary products will be based on the quality of the product and the sales potential of the product.
- Temporary products that are accepted are listed for 90 days. Temporary items may be extended past 90 days at the discretion of the Division.
- Any temporary products left after 90 days shall be picked up by the supplier following the dates listed in the letter or notification sent, with an incidental charge assessed. If the supplier fails to pick up unsold inventory by the deadline date, an accessorial fee for storage will be assessed.

Temporary to Permanent Listings (Temp to Perm)

- The Division reserves the right to accept a product for a 6 month temporary or probational period rather than permanently listing the product.
- If the Division chooses to grant the product permanent listing status at the end of the six month period, this will be communicated to supplier/broker in a listing letter.
- If the Division chooses not to permanently list the temp to perm item, the product must be picked up within 30 days of notification by the Division. This notification will occur in a listing/delisting letter. Any product not picked up by the deadline outlined in the notification letter will be assessed an accessorial fee for storage.

Permanent Price Changes

- Suppliers are eligible to change the total invoice cost per case of products quarterly.
- Permanent price changes are effective the first of February, May, August and November and must be submitted electronically no later than 60 days prior to effective date.
- Updated quote forms with the new case cost listed must be submitted electronically to be eligible for the upcoming permanent price change. All information on the quote form is required including last/previous quoted price, case cost increase/decrease, cost per bottle and wholesale price per bottle.

Temporary Price Reductions

- Suppliers are eligible to temporarily change the total invoice cost per case of products monthly.
- Temporary price reductions are done effective the first of any month and must be submitted electronically no later than 30 days prior to effective date.
- Effective month, NABCA code, item description, item size, item pack size and price off of case cost must all

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be submitted electronically to be eligible for a temporary price reduction.

- All price changes should be divisible down to the unit level (bottle, sleeve, etc.) without rounding. Price changes should be based on the unit rather than the case. For example, if offering a \$12.00 per case price allowance, this is divisible down to \$1.00 per 12 pack case and is acceptable. An example of an unacceptable price change for a 12 pack case is \$8.00 because the bottle reduction is not an even number (.666 cents per bottle). This price reduction could be submitted at \$8.40 per case (.70 cents per bottle) or \$7.80 per case (.65 cents per bottle).

Monthly Promos Newsletter

- For new items to be included as a 'New Code' in the ABD Promos Newsletter, inventory must be in place in the Division warehouse by the 15th of the prior month to ensure availability on the first of the month. Inventory that is received after this date will be listed in the following month's newsletter as a 'New Code'.
- The Division retains discretionary authority as to the acceptance of promotional deals. For example, a promotional deal may be declined for chronic out of stock issues or for regulatory compliance.
- If new codes are listed in the ABD Promos Newsletter under a marketing deal, inventory of the product must be in place in the Division warehouse by the 15th of the prior month to ensure availability on the first of the month. If a marketing deal is submitted for a new code that is not in the warehouse by the 15th of the prior month, the product will be pulled from the monthly promos newsletter and the broker will be notified.
- All licensee requests for products contained in the monthly promos must be honored by the supplier. In the event that the product becomes out of stock, these requests will be honored when the product is replenished, even if the TPR is over, and the price adjustment will be passed on to the licensee and those adjustments will be passed on to the supplier at bailment.

Change of Vendor or Broker

- Change of vendor or broker must be effective on the first of a month. Changes to vendor or broker cannot be made in the middle of a month or in the past.
- In the event a vendor or broker of a product is changed, updated quote forms with the new vendor and broker information must be submitted electronically to the Division.
- A letter stating the products that will be affected with updated quote forms must be sent to the products services specialist at least two weeks prior to the change of vendor or broker effective date by email.

Supplier to Consumer Discounting

Mail-in manufacturer rebates and coupons for liquor products are allowable, provided they meet federal regulations found in 27 C.F.R, parts 6, 8, and 11. It is the burden of the supplier to ensure compliance with federal and state laws in regards to mail-in rebates and coupons.

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Listing Appeal Process

- The product to be listed will be presented to the Division following the guidelines set under Section One.
- If the Division rejects the product, the broker and/or supplier may appeal the decision within 30 days to the administrator. If the product is still denied, the supplier has the option of appealing to the Iowa Alcoholic Beverages Commission. The supplier must notify the Division and the Iowa Alcoholic Beverages Commission of intent to appeal within 30 days of denial by the administrator.
- The Commission may decide whether or not to hear the appeal. If the Commission chooses to hear the appeal, it will be conducted at a regularly scheduled Commission meeting.

Inventory Management

- It is the responsibility of the supplier to ensure appropriate inventory of product is available in the Division warehouse. The supplier is responsible for ensuring that inventory doesn't fall under the minimum inventory level or over the maximum inventory level set for each product. Products shipped in over maximum inventory levels may be returned to supplier and a fee will be imposed.
- Maximum inventory levels are adjusted frequently and suppliers are encouraged to review their levels and consult with the Bureau Chief of Spirits and Distribution to ensure that they are set appropriately based on programming, marketing and demand shifts.
- In the event that a temporary spike in demand is expected, an over max exception may be granted to a supplier by the Bureau Chief of Spirits and Distribution. Any request to ship over maximum inventory levels should be sent electronically on the over maximum exception form prior to scheduling a PO. Products shipped in over maximum inventory levels without approval on this form will be returned to supplier and a fee imposed.
- Currently, the Division does not impose an out of stock fee but reserves the right to assess a fee in the future.
- The division reserves the right to deactivate a product that is out of stock more than 30 days. In the event the product is deactivated, a supplier must re-present the product to have it become a permanently listed item.

Section Two – Social Responsibility

Division's Responsibilities

The Division is responsible for “the protection of the welfare, health, peace, morals and safety of the people of the state.” Iowa Code § 123.1. The Division’s mission includes “responsible regulation” and “promoting health.” The Division strives to ensure that products listed do not contradict those directives.

Socially Responsible Practices

The Division has the authority to refuse a product if it does not meet the standards for which the Division is accountable. The Division follows DISCUS (Distilled Spirits Council of the United States) and its “Code of Responsible Practices” when it comes to advertising and marketing responsibly which includes brand advertising, consumer communications, promotional events, packaging, labels and distribution, sales materials and print and electronic media including the internet and webpages (“Code of Responsible Practices” 2).

The Division also follows ICAP (International Center for Alcohol Policies) and its Corporate Social Responsibility policy which states social responsibility involves not just the products that a company manufactures, but also the basic values, policies, and practices of a company’s business. Through company’s association with organizations, their social responsibility activities contribute to a wider development of alcohol policies, promote responsible drinking patterns, and target alcohol misuse. The beverage alcohol industry must recognize that good corporate citizenship includes ensuring that its products are used safely and responsibly (“Corporate Social Responsibility”). Therefore, the Division will follow the social responsibility practices outlined in this section of the Listing Manual.

- Responsible Placement
 - Adult Audiences/Underage Persons
 - Beverage alcohol advertising and marketing materials are intended for adults of legal purchase age who choose to drink.
 - Beverage alcohol should not be advertised or marketed in any manner directed or primarily appealing to persons below the legal purchase age.
- Beverage alcohol advertising and marketing should be placed in broadcast, cable, radio, print, internet/digital communications and advertising and marketing materials only where at least 71.6 percent of the audience is reasonably expected to be of legal purchase age.
- Responsible Content
 - Adult Audiences/Underage Persons
 - The content of beverage alcohol advertising and marketing materials should not primarily appeal to individuals below the legal purchase age.
 - Beverage alcohol advertising and marketing materials should not depict a child or portray objects,

Section Two – Social Responsibility

images or cartoon figures that primarily appeal to persons below the legal purchase age. Advertising or marketing material is considered to “primarily appeal” to persons below the legal purchase age if it has special attractiveness to such persons beyond the general attractiveness it has for persons of legal purchase age.

- Beverage alcohol products should not be advertised or promoted in a manner associated with the attainment of adulthood or the “rite of passage” to adulthood.
 - Beverage alcohol products should not be advertised or promoted by any person who is below the legal purchase age or who is made to appear to be below the legal purchase age.
 - No brand identification, including logos, trademarks or names, should be used or licensed for use on clothing, toys, games or game equipment or other items intended for use primarily by persons below the legal purchase age.
- Websites
- Age affirmation mechanisms, utilizing month, day and year, should be employed for beverage alcohol advertising and marketing websites. They also should contain a reminder of the legal purchase age.
 - Websites that contain downloadable advertising or marketing content should include instructions to individuals downloading the content that they should not forward these materials to individuals below the legal purchase age and also should include on the downloadable content a responsible drinking statement where practicable.
- Social Responsibility
- Beverage alcohol advertising and marketing materials should portray beverage alcohol products and drinkers in a responsible manner. Beverage alcohol products and drinkers may be portrayed as part of responsible personal and social experiences and activities.
 - Beverage alcohol advertising and marketing materials should not depict situations where beverage alcohol is being consumed excessively or in an irresponsible manner.
 - Beverage alcohol advertising and marketing materials should not imply illegal activity of any kind.
 - Beverage alcohol advertising and marketing materials should not portray, encourage or condone driving any motor vehicle while intoxicated.
- Good Taste
- Beverage alcohol advertising and marketing materials should reflect generally accepted contemporary standards of good taste.
 - Beverage alcohol advertising and marketing materials should not degrade the image, form, or status of women, men, or of any ethnic, minority, sexually-oriented, religious, or other group.
 - Beverage alcohol advertising and marketing materials should not contain any lewd or indecent images or language.

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- Sexual Prowess and Sexual Success
 - Beverage alcohol advertising and marketing materials may depict affection or other amorous gestures or other attributes associated with sociability and friendship. Beverage alcohol advertising and marketing materials should not rely upon sexual prowess or sexual success as a selling point for the brand. Advertising and marketing materials should not contain or depict graphic or gratuitous nudity, overt sexual activity, promiscuity or sexually lewd or indecent images or language.
 - Promotional Events Supplier sampling should ensure that appropriate measures are employed to safeguard against underage drinking, including ensuring that individuals conducting the sampling on behalf of the supplier are of legal purchase age.
 - Alcohol Content Beverage alcohol advertising and marketing materials should not refer to the alcohol content of a beverage alcohol product except in a straightforward and factual manner or promote the potency of a beverage alcohol product.
- Social Responsibility Statements
 - Responsible drinking statements should be included in beverage alcohol advertising, marketing materials and promotional events where practicable.

(“Code of Responsible Practices” 3-10).

Section Three - Delisting

Delisting Liquor Products

- In order to maintain an assortment of liquor products that reflect customer demand and inventory productivity, the Division conducts delisting product reviews quarterly.
- The cycle is a 12 month case sales report from a date determined by the Division.

Criteria for Delisting

- Less than \$18,000 in revenue and less than 144 cases in the past rolling 12 months.

Other considerations:

- 25 percent or more sales increase in the last year
- Transferability of the consumer to another like item in the same segment
- Transferability of the consumer to another like item in the same segment
- Brokers and/or suppliers will be notified of delisted products via email to delisting. At this point there are 30 days to appeal the decision to the product services specialist.
- Brokers and/or suppliers may choose to pick up delisted product or sell it at a discounted price for one month at a minimum of 40 percent off the regular invoice cost per case. All remaining product must be picked up following the dates listed in the letter or notification sent.
- Any delisted product remaining in the warehouse after the pick up deadline will be assessed an accessorial fee .
- Items delisted may be presented again after one year from delisted date.

Section Four – Bailment

Bailment Inventory System

The term “Bailment” means delivery of personal property by a bailor (supplier) to a bailee (the Division) for specific purposes under an express or implied agreement of both parties. When those purposes are accomplished, the property will either be returned to the bailor, held by bailee until the bailor reclaims it, or disposed of according to the agreement.

Suppliers ship listed products into the Division warehouse; the Division sells products to retailers, then pays suppliers for products and provides accurate accounting of the inventory¹. The State of Iowa is the sole wholesaler of all distilled spirits in Iowa. Suppliers may not sell directly to retailers or consumers.

Suppliers are requested to furnish the Division with the name, address and phone number of a bailment contact person using the “Bailment Contact Information” form. The contact person will represent the supplier in all dealings with the Division regarding bailment inventory.

A “Bailment Authorization Form” granting the Division authority to effect the removal of the supplier’s product from bailment by the Division through shipment on a continuing basis will be requested from the supplier’s designee or agent. The “Bailment Authorization Form” will be provided to each supplier by the Division and should be returned prior to the supplier’s product being added to the bailment inventory.

The Division requires that an authorized representative of the supplier execute a “Bailment Hold Harmless Agreement” which states the company will hold the Division harmless for losses incurred due to fire, water, or other damage by the elements while the supplier’s inventory is stored at the Division warehouse. The Division will not cover costs or carry insurance for such losses.

¹Bailment is not to be confused with “consignment sales” as consignment sales are illegal as specified by the TTB.

Attached:

Bailment Contact Information, page 28

Bailment Authorization Form, page 29

Bailment Hold Harmless Agreement, page 30

Bailment Policies

Vendors must furnish the Division with a “Standard Quotation and Specification Form” for each active item code carried by the Division. New quotation forms must show the Freight on Board (FOB) Point as Ankeny, Iowa. Quotations must list the “Net Cost FOB Ship Point” case cost (line 28) and “US Freight” (line 29)¹ as separate items. The total case cost paid to suppliers will be the FOB delivered price, or “Total Net Invoice Cost per Case” (line 31). Payments to suppliers will be adjusted for incidental charges or ownership shifts to the Division during

Section Four – Bailment

the bailment period.

The Division will provide suppliers with a current “Stock Status Report” at a minimum of twice per week. The report will reflect current Division inventory and on-order quantities for each item and will assist suppliers in determining bailment inventory orders. The Division will establish inventory levels based on forecasted sales.

¹Including a \$1.00 bailment fee on line 30.

Attached:

Stock Status Report, page 31

Ordering Merchandise

Suppliers are responsible for determining quantities of merchandise delivered to the Division warehouse for storage and must maintain inventory levels below the forecasted maximum inventory level for each product.

The Division requests supplier’s notification of incoming product quantities (by code) to be delivered to the Division warehouse. The Division will then provide the supplier with an unloading reference number, or release number. Suppliers will furnish the carrier with the release number.

The Division requires carriers contact the Division purchase order assistant to obtain an unloading appointment time. The carrier should indicate the supplier and the Division unloading reference number when scheduling the appointment. Trucks arriving without appointments and reference numbers will be assessed an incidental fee.

Special Orders

While the Division maintains a diverse selection of listed liquor products, occasionally customers request products not currently listed in Iowa. Such requests are referred to as special orders. Special orders are non-listed products not stocked in the warehouse or listed in the Division price book for order on demand. As the Division cannot store products that are unique but infrequently requested, they can be obtained on an individual basis through the special order program. The Division will contact suppliers regarding special order products for customers on an as needed basis.

Section Four - Bailment

New Vendor Checklist

- o Certificate of Compliance
- o Bailment Authorization Form
- o Bailment Contact Information
- o Hold Harmless Agreement
- o Control State Code (CSC)
- o Five Cent (5¢) Refund Information
- o SCC Label on the Case
- o Bailment Fee on the Price Quote

Section Five – Shipping

Case Code Label Instructions

- The size of the case code label is 4" x 6".
 - Case code labels should be printed on white stock paper with black lettering unless otherwise approved
- Case code labels shall include the following:**
- Product description with size
 - Control State Code (CSC)
 - The three-digit prefix that identifies class and type
 - The unique CSC number omitting all leading zeros
 - The two digit suffix identifying the size
- The CSC number should measure 7/8" to 1" vertically. The prefix and suffix number should measure 1/4" to 1/2" vertically.
- Universal Price Code (UPC) Symbology should be located in the lower left-hand corner of the case code label
 - The label should be located on an end panel

Shipping Container Code

All merchandise shall have a 14-digit shipping container code (SCC-14). The bar code shall be readable by Division warehouse scanning equipment.

Application Standard for Shipping Container Codes

- Minimum print quality grade is 1.5(C)
- Measurement aperture is 0.01" (0.254 mm)
- Inspection wavelength is 670 nm + 10 nm
- NOTE: The minimally acceptable grade of 1.5/10/670 applies to the final symbol at its point of use. It is appropriate to strive for a higher symbol grade at the point of printing to allow for process variations and possible degradation from packaging, storage, shipping and handling. Wherever practical, it is recommended that the symbol grade as printed should equal or exceed 2.5/10/670.

SCC Content

A SCC-14 number consists of 14-digits starting with an indicated digit and ending with a check digit. The check digit is calculated according to the UCC/EAN algorithm (same as UPC/EAN check digit).

$N^1 N^2N^3 N^4N^5N^6N^7N^8 N^9N^{10}N^{11}N^{12}N^{13} N^{14}$

A SCC-14 number contains the following information:

¹ Package indicator (PI)

²⁻³ UPC numbering system/EAN country prefix

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⁴⁻⁸ Manufacturer code

⁹⁻¹³ Item identification number

¹⁴ Check digit

The first digit, Package Indicator (PI), indicates package variants. For example, you package the same product into two different cases with 1 case containing 10 items and another containing 12. You assign 1 for the first case and 2 for the second. However, there is no standard mandating how many items should be placed in the case for PI=1. The quantity is checked against the database.

In two scenarios you may assign PI=0. The first instance is to indicate the item number identifying a container is different from the item number on the units inside the container. The second instance is when the container contains one unit of the item. When stored in the database, a 12-digit UPC or 13-digit EAN code is stored into a 14-digit numeric format. The 14-digit is identical to the SCC-14 with PI=0.

Print Contrast and Tolerances

These two concepts have been used historically to evaluate the quality of printed bar code symbols. Printers may wish to continue using print contrast or tolerances in setting up their processes, although neither of these measures is explicitly part of this standard.

Symbol contrast using the ANSI X3.182 method will typically be somewhat more lenient than the reflectance and PCS requirements given by the ANSI/USS-3, U.P.C. Shipping Container Code and Symbol Specification Manual, which has been replaced by this document.

Similarly, decidability will always be more lenient than the previously published tolerances. Bar and space dimensions of Interleaved 2-of-5 are not as critical as when the old specifications were established.

Symbol Location

All bar codes (UPC, EAN, SCC-14 and other AIs & Data) shall be printed and placed in a vertical bar configuration (picket fence). Placement of bar codes is independent of print technology and symbology employed.

Transport Packages Less than 39 Inches (1m)

For transport packages 39 inches (1m) or less in height including cases, placement of the symbol shall comply with the following specifications:

- The bottom edge of the bar code that contains the SCC-14 or the SSCC-18 should be located $1.25'' + 0.125''$ from the container's natural bottom. It shall appear on a minimum of one side and should appear on two adjacent sides. Symbol location requirements vary by industry and throughout the supply chain. Adjacent side placement resolves these requirements. Therefore, one side placement should be chosen cautiously, and only with a complete understanding of all supply chain trading partner requirements.
- The outer edge of the quiet zone shall be no closer than $0.75''$ to the edge of the vertical face. It is

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recommended the outermost bar (excluding the bearer bar) be no closer than 1.25" to the edge of the vertical face.

- It is important to maintain these locations to ensure scanning in automated environments and to prevent damage of the bar code due to edge crush. Placement specifications are independent of print technology and symbology.

Avoid Red Ink

Avoid using red ink for the SCC. Black generally provides the greatest contrast.

Ensure White Space

If the SCC is enclosed within a border, ensure that there is at least 1/4" of white space between the border and the first and last vertical bars of the SCC.

Maximum Contrast

Maximum contrast between the SCC and the background will produce maximum readability.

SCC Placement

Do not place the SCC to the immediate right or left of the UPC as the scanner may read only the UPC or may try to read both.

Notification

Notify the Division's products manager in advance of any changes to UPC or SCC by email or phone.

Universal Product Code (UPC) & Global Trade Item Numbers (GTINs)

Valid and unique UPC or GTINs product codes are a standard requirement in most retail stores. These codes are comprised of a company prefix which is followed by additional digits that represent each unique product manufactured by the company. The last digit of the UPC code typically represents a check digit which is a calculation of the previous digits.

A product is considered unique by type, size, category, brand, etc. Thus, different sizes of the same product will require a unique identification number. Outer packages that are intended to pass to the consumer without alteration should carry a unique code separate from the UPC or GTIN on the enclosed contents.

*The Division **requires** submission of the entire product code including the check digit when quoting or updating products. A penalty may be assessed upon submission of invalid codes.*

Barcode symbology is widely used for point of sale and inventory replenishment. Failure to conform to

Section Five – Shipping

product code standards may limit the ability of products to be sold in retail settings.

To learn more about product codes or to register your company, please contact GS1 directly.

GS1 phone: 609.630.0200

Website: <http://www.gs1us.org>

Email: info@gs1us.org

Shipping Merchandise

- All merchandise arriving at the Division warehouse shall be on a #1, 40" x 48" hardwood pallet. Trucks arriving with merchandise not on the hardwood pallet as noted above will be assessed an incidental fee.
- Pallets that are straight-stacked (no cross-tie of cases) are not allowed overhang on the pallet.
- Pallets that are cross-tied and shrink-wrapped are allowed up to a maximum of four inches of overhang on the pallet.
- When mixed product is received on one pallet, each product must be separated by an additional pallet. Suppliers will be assessed an incidental fee to re-palletize product.
- Merchandise must be shrink-wrapped with one layer.
- Reference the incidental fee worksheet for all warehouse charges.

Iowa Bottle Deposit Policy

- The phrase "Iowa Refund 5¢" or "IA 5¢" must be displayed on all spirit containers as stated in Iowa Code chapter 455C.
- The wording must be placed on top of a metal container and must be noticeable on a glass or plastic container. The wording is not allowed on the bottom of a container.
- The wording must be 1/8" if the notice is embossed on the bottle or 1/4" if otherwise attached to the bottle.
- The wording may be embossed, incised, printed in a high contrasting color, stamped or labeled, or any other method that is approved by the Iowa Department of Natural Resources (DNR).
- Rubber stamps or ink that will smudge or that can be wiped off may not be used.
- The requirements include all brands and sizes carried by the Division.

Stickers are produced and are for sale to suppliers to be affixed to each bottle prior to shipment to the Division. Suppliers will be billed for these stickers and postage/shipping charges. Stickers may be requested from the Division's public service assistant. Once the supplier receives the initial supply of stickers, subsequent shipments of product must arrive at the Division with the stickers affixed or "Iowa Refund 5¢" displayed on each bottle.

The phrase "Iowa Refund 5¢" or "IA 5¢" must be displayed on each individual 50ml bottle in each sleeve. If 50ml bottles are not stickered, a 50ml deposit exemption 'Certification of Beverage Container Exemption' must be filed with the Iowa DNR.

Section Five - Shipping

Stickers may be placed anywhere on the container except for the cap or the bottom of the container.

Product arriving at the Division without stickers affixed to each bottle will be stickered by warehouse personnel and the supplier will be assessed an incidental fee.

Attached:

Application for Beverage Container Label Exemption, page 32

Bibliography

- "Code of Responsible Practices for Beverage Alcohol Advertising and Marketing." Distilled Spirits Council of the United States (DISCUS) [Washington D.C.] 26 May 2011: 2-10.
- "Corporate Social Responsibility." International Center for Alcohol Policies. N.p., n.d. Web. 26 Sept. 2012. <http://www.icap.org/AboutICAP/PolicyApproach/Partnerships/CorporateSocialResponsibilityCSR/tabid/190/Default.aspx>

Glossary

- Accessorial Fee** - A supplementary charge for service provided in addition to normally included service.
- Bailment Authorization Form** - This document allows the Division to remove inventory of the supplier's product from bailment at the Division warehouse on an ongoing basis.
- Bailment Hold Harmless Agreement** - Page 2 of the Bailment Authorization which releases the state of Iowa from liability for loss due to fire, storm, flood or other Acts of God while products are stored at the Division.
- Bailment Inventory System** - A system that allows suppliers to retain ownership of all spirits delivered into Iowa while remaining under the control of the Division until purchased by a licensee.
- Bottle Deposit Exemption** - Exempt from the requirement of having the words "Iowa Refund 5¢" or "IA 5¢" indicated on the container.
- Bottle Deposit Labeling** - Must have "Iowa Refund 5¢" or "IA 5¢" indicated on the container.
- Broker** - A independent agent charged with representing or promoting the product(s) for one or more supplier of spirits to the state of Iowa
- Case Code** - A unique product identifier affixed to every case of liquor delivered by the Division.
- Code Conversion** - The process of transferring a product from one NABCA code to another, or converting between a special order product code and the underlying NABCA code.
- Control State Code** - A three digit prefix that identifies the class and type of liquor. A part of the case code.
- Delisted** - Products that are eliminated from the Division portfolio on a quarterly basis due to failure to meet revenue criteria.
- Distiller's Certificate of Compliance** - Allows for the importation of liquor to the Iowa Alcoholic Beverages Division
- FOB** - FOB Destination. All payments to suppliers will be total net cost per case.
- GTIN** - Global Trade Item Number (GTIN) is an identifier for trade items developed by GS1.
- Highly Allocated Products** - Products that are not regularly listed products or special order products and are temporarily available in very limited quantities to the Division. These products are allocated to the Division by the supplier and the allocation is accepted by the Division to distribute to Class E licensees. These products are subject to a lottery as needed to ensure a fair and level playing field for licensees.
- Liquor Manufacturer's License** - Manufacture, rectify, store, and sell liquor to Iowa Alcoholic Beverages Division and customers outside of Iowa.
- Listed Product** - Products that are considered permanently listed and are a regular part of the Division product portfolio.
- Listing Meeting** - A meeting required before a product can be granted permanent listing status by the Division. The product is presented in the meeting by the supplier or their agent for consideration by the Division. Upon receipt of all paperwork and information required by supplier, the Division has 14 days to make a decision whether or not to list the product.
- Maximum Inventory Levels** - The maximum number of cases of a product the Division will accept in the warehouse.
- Microdistiller's License** - Sell or offer for sale micro-distilled spirits. Sales may be made at retail for off-premises consumption when sold on the premises of the micro-distillery that manufactures micro-distilled

Glossary

spirits. All sales shall be made through the state's wholesale distribution system.

Minimum Inventory Levels - The minimum number of cases of a product the Division expects suppliers to maintain in the warehouse.

Monthly Promos Newsletter - A monthly publication highlighting special offers and pricing deals by suppliers to Iowa's class E licensees.

NABCA - The national association representing the Control State Systems - those jurisdictions that directly control the distribution and sale of beverage alcohol within their borders.

Non-traditional product - Any alcoholic product that is not in liquid form or is not immediately recognizable as alcohol.

Permanent Price Change - A permanent increase or decrease in the price of a product sold to Iowa licensees, as determined by the supplier. Permanent price changes occur quarterly effective on the first of the month of February, May, August and November and must be submitted at least 60 days prior to effective date.

Permanent Products - Any product that is permanently listed in Iowa and published regularly as part of the Division portfolio. Permanently listed products are reviewed quarterly to ensure they are meeting revenue guidelines and are potentially subjected to delisting.

Presales - When a supplier/broker solicits potential purchases of a non-listed product from Iowa licensees prior to sending the product to the Division warehouse for the Division to fulfill the orders. Presales are honored at the discretion of the Division.

Probational Period - The six month period granted to a temporary to permanent product to evaluate its performance and determine whether to grant permanent listing.

Product Breakdown - Product that requires a packaging change by the Division warehouse personnel for sale to licensees. Occurs most frequently when a VAP is broken down by the Division to separate 50ml riders or promotional items to return salable liquor products to inventory.

Quote form - Required form to be submitted by suppliers to the Division that contains information necessary to list and receive products. This information includes the NABCA code, vendor name, product name, size, pack size, UPC, SCC, price, cases per pallet, cases per layer, and other fields that relate to the specific product. Each product must have a quote form on file that has up to date information. The supplier must resubmit a new quote form when changes are made to the product set up (vendor, pack size, UPC, SCC, etc).

Return to Supplier - The process of returning product to a supplier for a number of reasons, including but not limited to: delisting, incorrect packaging, quality control issues, overshipment, requires rework to meet standards, product traded out, or voluntary return originated by a supplier request.

Size Extension - An extension to the number of sizes of a product available to Iowa licensees. Size extensions are accepted at the discretion of the Division and must meet revenue criteria.

Social Responsibility - The obligation of an organization's management towards the welfare and interests of the society in which it operates.

Special Order Products - Products that are not available as a permanently listed items in the Division portfolio and are not part of the highly allocated products program. Typically, special order sales are driven by a customer requesting the product through their Class E licensee.

Glossary

Temporary Price Reductions (TPR) - A temporary reduction in the price of a product sold to Iowa licensees, as determined by the supplier. Temporary price reductions (also known as Special Price Allowance (SPA)) occur monthly effective on the first of each month and must be submitted at least 30 days prior to effective date.

Temporary Products - Products that are not permanently listed but are added to the Division portfolio for a limited time. Temporary products are typically available for 90 days unless they have been granted temporary to permanent product status. Temporary products include holiday items, 50ml "introductory" products and seasonal items.

Temporary to Permanent Products - Products that are not granted permanent listing status but may be eligible for permanent listing after a six month probational period. After the six month probational period, the product will be evaluated based on revenue criteria and may be granted permanent listing status.

Traded Out Product - Product that is voluntarily removed by a supplier from the Division portfolio in order to bring in a new product for permanent listing, at the discretion of the Division. Traded out products are the only products not subjected to a return to supplier fee for pickup.

UPC Code - A UPC Code is a method used by manufacturers to identify products quickly. UPC stands for "Universal Product Code."

Value Added Products - A regularly listed product that is temporarily packaged differently than the norm. This includes gift sets with glassware, a special gift box, regular product that includes a 50ml hitchhiker or non-alcoholic mix or juice or any temporary package that adds value to the regular product. Value added products are usually brought in as a 90 day temporary product and are often brought in for holiday sales.

Vendor - For use in this listing manual a vendor is any supplier who provides spirits to the state of Iowa.

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BAILMENT CONTACT INFORMATION

SUPPLIER NAME: _____

BAILMENT CONTACT PERSON

NAME: _____

TITLE: _____

MAILING ADDRESS: _____

TELEPHONE NUMBER: _____

FAX NUMBER: _____

EMAIL ADDRESS: _____

ORDER ACCEPTANCE INDIVIDUAL OR AGENT

NAME: _____

TITLE: _____

MAILING ADDRESS: _____

TELEPHONE NUMBER: _____

FAX NUMBER: _____

EMAIL ADDRESS: _____

BAILMENT AUTHORIZATION FORM

DATE

I, _____, am the agent or individual
NAME

designated by _____ of
SUPPLIER

ADDRESS | CITY | STATE | ZIP CODE

to accept orders from the Iowa Alcoholic Beverages Division (Division) of
the Iowa Department of Commerce for products stored by said supplier in
bailment at any designated Division warehouse within the State of Iowa. This
document will serve as authorization for the Division warehouse to effect all
shipments of bailment products dated _____ through
_____ from aforementioned supplier to the Division.

It is the supplier's responsibility to inform the Division of ownership changes.

SIGNATURE

DATE



BAILMENT HOLD HARMLESS AGREEMENT

SUPPLIER NAME: _____

ADDRESS | CITY | STATE | ZIP CODE

TELEPHONE NUMBER

AUTHORIZED REPRESENTATIVE

TITLE

Supplier agrees to hold harmless the Iowa Alcoholic Beverages Division (Division) of the Iowa Department of Commerce, its officers, employees and the State of Iowa for losses to the supplier's inventory stored at any designated Division warehouse within the State of Iowa as a result of fire, storm, flood or other acts of God, and does hereby release the Division and the State of Iowa from liability from such inventory losses.

SIGNATURE

DATE



STOCK STATUS REPORT

Iowa Alcoholic Beverages Division
Weekly Stock Status

12/01/2012 through 12/31/2012															Page 1 of 1	
Vendor: 9876 SUPPLIER1																
Item Code	Brand Name	Size	Pack	Beg. Cases	Recv.	Ship.	ABD Buys	Adj.	Vend. Owned	ABD Owned	On Order	Avail.	Max.	Warn	Min.	
99991	Product1	0.750	12	17	0	12	0	0	4	0	0	4	28	16	16	Under Minimum
99992	Product2	0.375	24	197	588	412	0	0	373	0	0	541	777	333	333	



APPLICATION FOR BEVERAGE CONTAINER LABEL EXEMPTION

Iowa Administrative Code [567] sections 107.3(7),(8)&(9) provide for the manufacturer of a beverage whose container is covered by the Beverage Containers Control law, Iowa Code Chapter 455C, to apply for an exemption from the requirement of having the words "Iowa Refund 5¢" or "IA 5¢" indicated on the container. The manufacturer is to fill out this Form, and submit it with all required additional items including container example(s) (which can be photographic images) to the Iowa Dept. of Natural Resources for determination of whether the exemption will be granted.

A. Applicant Information:

Name of beverage manufacturer: _____

Name of authorized manufacturer official: _____

Title: _____

Address: _____

City: _____ State: _____ Zip: _____

Telephone Number: _____

B. The refund value of the container(s) is (check one): 5¢ Other _____

C. The Applicant's beverage container can be readily and permanently identified by consumers as subject to a deposit because (check one):

consumers regularly purchase 50 milliliter bottles of _____ (beverage product name; also please attach list of additional product names if the manufacturer is applying for more than one exemption) and are commonly and reasonably familiar with it as an alcoholic liquor, and that because all liquor bottles in Iowa have been subject to a deposit since 1979, consumers effectively presume that a deposit will be paid at purchase and then refunded when the empty bottle is presented for redemption.

other _____

D. As the official named in Section A. above, I affirm that the information and statements made in this Application are true to the best of my knowledge. I also affirm that an example or examples of the of the container(s) for which the exemption(s) is/are being requested has been sent in with this Application as required; this can include photographic images.

Accordingly, _____ (name of beverage manufacturer) hereby applies to be exempt from the requirement of having the words "Iowa Refund 5¢" or "IA 5¢" indicated on the container(s) of (check one):

50 milliliter bottles of _____ (beverage product name, and including additional product names on attached list).

other _____

Signed: _____ Date: _____

Please submit this completed Form with all required items either by –

mailing to:

Or e-mailing scanned copies to:

Or Faxing to:

Bill Blum
Iowa Dept. of Natural Resources
Wallace State Office Building
502 E. 9th Street
Des Moines, IA 50319

bill.blum@dnr.iowa.gov

(515) 281-8895
Attention – Bill Blum
(515) 281-8176



STANDARD QUOTATION AND SPECIFICATION FORM

IOWA ALCOHOLIC BEVERAGES DIVISION

* WITH SHIPMENTS ON AND AFTER

STATE **IOWA** NABCA CODE:

VENDOR NAME: EMAIL: DATE SUBMITTED:

BRAND NAME: EFFECTIVE DATE:*

BAILMENT SPECIAL ORDER PURCHASE STATE STOCK

TYPE: CLASS:

AGE/VINTAGE: PROOF ALCOHOL: DOMESTIC IMPORT

DISTILLER/PRODUCER: ADDRESS:

BOTTLER: ADDRESS:

SOLD UNDER ANY OTHER LABEL? NO YES PROOF: AGE: EXPLAIN:

PRIMARY SHIP POINT: FOB POINT: **ANKENY IA** FRT. PER CWT:

OTHER SHIP POINTS: 2. 3.

NEW ITEM CASE COST CHANGE PACK CHANGE
 AGE/PROOF/VINTAGE CHANGE VENDOR CHANGE OTHER
 SCC/UPC CHANGE PALLET/TIER/WEIGHT CHANGE

**MINI BOTTLE
PACKS**

BOTTLE SIZE	1.75 L	Liter	750 ml	375 ml	200 ml	100 ml	50 ml	Btls per Sleeve
OUNCES PER BOTTLE	59.2	33.8	25.4	12.7	6.8	6.8	1.7	
UNIT PACK (SLEEVES PER CASE FOR MINIS)	6	12	12	24	24	48	24	
VENDOR NO. UPC (COMPANY - 0-00000)								
VENDOR NO. UPC (PRODUCT - 00000-0)								
SHIP CONTAINER CODE SCC (FIRST - 000-00000)								
SHIP CONTAINER CODE SCC (LAST - 00000-0)								
NABCA CODE								
CASES PER PALLET								
CASES PER LAYER/TIE								
BOTTLE WEIGHT (LBS)								
NET COST FOB SHIP POINT								
U.S. FREIGHT								
BAILMENT CHARGE	1.00	1.00	1.00	1.00	1.00	1.00	1.00	
TOTAL NET INVOICE COST PER CASE	1.00							
(IN BOND) YES <input type="checkbox"/> NO <input type="checkbox"/>								
BOTTLE DIMENSIONS (LxWxH) (INCHES)								
MIN. SHIPPING QUANTITY								
LAST/PREVIOUS QUOTED PRICE								
DATE OF LAST/PREVIOUS QUOTE								
CASE COST INCREASE (DECREASE)	1.00	1.00	1.00	1.00	1.00	1.00	1.00	
COST PER BOTTLE /SELLING UNIT/SLEEVE	0.17	0.09	0.09	0.05	0.05	0.03	0.05	
WHOLESALE PRICE PER BOTTLE/UNIT/SLEEVE	0.26	0.14	0.14	0.08	0.08	0.05	0.08	

REMARKS:

TERMS (DISCOUNT)

ARE THE ABOVE PRICES THE LOWEST QUOTED TO ANY OTHER CUSTOMER? YES NO

REPRESENTATIVE FOR THE STATE

Name:

Email:

Address:

City: State: Zip:

Phone: Fax:

WE CERTIFY THAT THE FOREGOING IS CORRECT

FED ID # :

BY:

TITLE:



IOWA ALCOHOLIC BEVERAGES DIVISION

PRODUCT LISTING CRITERIA WORK SHEET

REPRESENTATIVE:		EMAIL:	
VENDOR NAME:		DATE SUBMITTED:	
PRODUCT NAME:		BROKER:	
TYPE:	CLASS:	LITER:	
PROOF ALCOHOL:	AGE:	<input type="checkbox"/> DOMESTIC	<input type="checkbox"/> IMPORT

SALES / MARKETING INFORMATION

FACEBOOK FRIENDS #:	0	<input type="checkbox"/>	PREMISE
TWITTER FOLLOWERS #:	0	<input type="checkbox"/>	OFF PREMISE

PRICING (3 ALLOWED PER CATEGORY)

PRICE POINT \$		YES	NO
IOWA MARKETING \$		ULTRA PREMIUM: <input type="checkbox"/>	<input type="checkbox"/>
NATIONAL MARKETING \$		PREMIUM: <input type="checkbox"/>	<input type="checkbox"/>
IOWA SAMPLES \$		MID-POINT: <input type="checkbox"/>	<input type="checkbox"/>
TEMPORARY PRICE REDUCTION \$		VALUE: <input type="checkbox"/>	<input type="checkbox"/>
SPECIAL REBATE/PROMOTION \$	PER 0	CASE(S) <input type="checkbox"/>	BOTTLE(S) <input type="checkbox"/> OTHER * <input type="checkbox"/>

* IF OTHER, DESCRIBE	PRODUCT(S) TO REMOVE FROM YOUR IOWA PORTFOLIO
PREVIOUS 12 MONTH SALES HISTORY	FROM YOUR IOWA PORTFOLIO
	CODE DESCRIPTION
NATIONAL BRAND SALES TREND %	
IOWA CATEGORY SALES TREND %	

SPECIAL ORDER DOLLAR SALES \$		1ST YEAR CASE GOAL		
		INITIAL DISTRIBUTION		
CASE SALES BY STATE		ALLOCATION		

BORDERING	CONTROL			ABD USE ONLY			
IL	AL		OH		YES		NO
KS	ID		OR	NEW PRODUCT/INNOVATION:	<input type="checkbox"/>		<input type="checkbox"/>
MN	ME		PA	ADDED VALUE:	<input type="checkbox"/>		<input type="checkbox"/>
MO	MD		UT	TACTICAL BRAND/TRADING DOWN:	<input type="checkbox"/>		<input type="checkbox"/>
NE	MI		VT				
SD	MN		VA	REASONS TO LIST		REASONS NOT TO LIST	
WI	MS		WA	1		1	
TOTAL 0	MT		WV				
	NH		WY	2		2	
	NC						
	TOTAL			3		3	

DIVISION CONTACT INFORMATION

ADMINISTRATOR:

Stephen Larson
515.281.7402 (phone)
515.281.7385 (fax)
Larson@lowaABD.com

CHIEF OPERATING OFFICER:

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BUREAU CHIEF OF LICENSING & REGULATION: Karen Freund
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