Holiday Schedule
Will-Call Hours
Updates
Comments/Complaints
Return Policy
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Message from the Bureau Chief – Operations

The Division has been tracking misorders for the past few years since the upgrade to online (ABD Portal) and EDI order placement by the Class E's.

We have noticed that the number of misorders continue to be exceedingly high in terms of occurrences and volume. For example, the Division, for calendar year 2017, processed over 2,000 misorders which amounted to over 8,400 cases and 8,500 bottles being returned to inventory.

Processing of returns are very time consuming and involves many different resources to complete, from the driver to accounting and warehouse as well.

The system was designed to have a verification step that allows the user to not only verify from the standpoint of dollars but cases and bottles as well before the order is transmitted.

The Division kindly asks all Class E's to please verify/review orders before sending to ensure accuracy which will help stem the flow of these types of returns.

Thank you and have a great day!!

Herbert H. Sutton Jr.
Bureau Chief, Operations
sutton@iowaabd.com
<table>
<thead>
<tr>
<th>Holiday</th>
<th>Date</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Memorial Day</td>
<td>May 28</td>
<td>ABD will be closed Monday, May 28th for the Memorial Day holiday.</td>
</tr>
<tr>
<td>Fourth of July</td>
<td>July 4</td>
<td>ABD is closed. Orders and deliveries will be adjusted. Adjusted schedule will be communicated at least 30 days prior to the holiday.</td>
</tr>
<tr>
<td>Labor Day</td>
<td>September 3</td>
<td>ABD is closed. Orders and deliveries will be adjusted. Adjusted schedule will be communicated at least 30 days prior to the holiday.</td>
</tr>
<tr>
<td>Veteran’s Day</td>
<td>November 12</td>
<td>ABD is closed. Orders and deliveries will be adjusted. Adjusted schedule will be communicated at least 30 days prior to the holiday.</td>
</tr>
<tr>
<td>Thanksgiving</td>
<td>November 22-23</td>
<td>ABD is closed. No orders received will be processed.</td>
</tr>
<tr>
<td>Christmas</td>
<td>December 25</td>
<td>ABD is closed. Orders and deliveries will be adjusted. Adjusted schedule will be communicated at least 30 days prior to the holiday.</td>
</tr>
<tr>
<td>New Years</td>
<td>January 1</td>
<td>ABD is closed. Orders and deliveries will be adjusted. Adjusted schedule will be communicated at least 30 days prior to the holiday.</td>
</tr>
</tbody>
</table>

Please refer to this publication for updates regarding our holiday adjusted schedules to ensure your order is processed accordingly. Holiday adjusted schedules are based on your **ABD assigned order day**. If you are not sure of your assigned day, please feel free to call us for clarification.
## Will-Call Hours

### Will-Call Order

<table>
<thead>
<tr>
<th>Day</th>
<th>Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Monday</td>
<td>Before 12:00pm</td>
</tr>
<tr>
<td>Tuesday</td>
<td>Before 12:00pm</td>
</tr>
<tr>
<td>Wednesday</td>
<td>Before 12:00pm</td>
</tr>
<tr>
<td>Thursday</td>
<td>Before 12:00pm</td>
</tr>
<tr>
<td>Friday</td>
<td>Before 9:30am</td>
</tr>
</tbody>
</table>

### Warehouse Pickup

<table>
<thead>
<tr>
<th>Day</th>
<th>Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Monday</td>
<td>8:00am – 3:00pm</td>
</tr>
<tr>
<td>Tuesday</td>
<td>8:00am – 3:00pm</td>
</tr>
<tr>
<td>Wednesday</td>
<td>8:00am – 3:00pm</td>
</tr>
<tr>
<td>Thursday</td>
<td>8:00am – 3:00pm</td>
</tr>
<tr>
<td>Friday</td>
<td>8:00am – 1:00pm</td>
</tr>
</tbody>
</table>

### Special Orders

Place special order requests 24/7 [here](#).
If you need a refresher about the licensing process, update on laws & requirements, or are seeking educational material please visit our website. https://abd.iowa.gov/

On the Licensing Page you can find:
- eLicensing
- eLicensing User Guide
- Laws and Requirements
- License Classifications
- Fee Schedule

On the Education Page you can find:
- Bulletins
- Downloadable Materials
- I-PACT & I-PLEDGE
- Legally Speaking Articles

You can also find information on Tobacco and Regulation.
April 10, 2018

Voluntary Disclosure Program

The Iowa Alcoholic Beverages Division (ABD) has instituted a Voluntary Disclosure Program, allowing license and/or permit holders to voluntarily disclose actual or potential violations of the laws and rules administered by the ABD. Specific information on the Voluntary Disclosure Program is enclosed.

Voluntary disclosure can have several benefits for license and/or permit holders, including reduced penalties or other special considerations when and if the ABD proposes administrative actions. Bear in mind that special considerations are not guaranteed, particularly in cases involving fraud, willful violations of law that may be referred for criminal investigation/prosecution, and instances where a pattern of noncompliance is demonstrated after a prior voluntary disclosure.

The ABD welcomes and encourages participation in the Voluntary Disclosure Program. Voluntary disclosure demonstrates credibility, good faith, trust, and confidence on the part of a license and/or permit holder, and can foster goodwill and a positive working relationship with the ABD. Participation also promotes a fair and level playing field for those engaged in the alcoholic beverages marketplace, and assists the ABD in its goal of protecting public health, safety, and welfare.

Joshua J. Happe
Bureau Chief, Regulatory Compliance Program
Voluntary Disclosure Program

The Iowa Alcoholic Beverages Division (ABD) Voluntary Disclosure Program encourages compliance with the laws and rules administered by the ABD by allowing license and/or permit holders to voluntarily disclose potential and actual violations of said laws and rules. In return for disclosure, license and/or permit holders may receive reduced penalties or other special considerations if the ABD proposes administrative action be taken.

What is voluntary disclosure?

The ABD defines voluntary disclosure as the intentional disclosure to authorized ABD officials of material facts by license and/or permit holders regarding potential and actual noncompliance with the laws and rules administered by the ABD.

How do voluntary disclosures differ from other disclosures of information by license and/or permit holders?

Under the Voluntary Disclosure Program, license and/or permit holders initiate voluntary disclosures of noncompliance with laws and rules administered by the ABD, as well as any irregularities they discover in their operations that are potential violations of said laws or rules. These voluntary disclosures are distinct from disclosures that are required by law or rule, such as submissions of tax reports and other reports of operations.

What are the benefits of voluntary disclosure?

Voluntary disclosures provide several benefits to license and/or permit holders by:

1. Reducing costs (time and money) associated with legal investigation and action;
2. Potentially resulting in reduced penalties or other special considerations when and if the ABD proposes administrative action;
3. Providing an incentive for detecting and correcting errors early;
4. Allowing the opportunity to obtain special guidance on future compliance;
5. Promoting a fair and level playing field; and
6. Demonstrating credibility, good faith, trust, and confidence that fosters goodwill and a positive working relationship with the ABD.

Voluntary disclosures also benefit the ABD by:

1. Protecting public health, safety, and welfare;
2. Achieving results at reduced cost to the ABD;
3. Promoting compliance and a fair and level playing field;
4. Fostering cooperative relationships between the ABD and license and/or permit holders; and
5. Enhancing the ABD’s abilities to educate license and/or permit holders on compliance issues and reduce future irregularities.

*When should license and/or permit holders make voluntary disclosures?*

License and/or permit holders should make voluntary disclosures as soon as possible after they discover any noncompliance with the law or rule.

*When does the ABD accept voluntary disclosures?*

The ABD considers and may accept voluntary disclosures when a license and/or permit holder meets any of the following conditions:

1. Disclosure is made **before** the ABD:
   a. Discovers irregularities;
   b. Begins a formal audit or investigation in which irregularities fall within the scope of the audit or investigation; or
   c. Finds irregularities that fall outside the scope of a formal audit or investigation.
2. Information is provided to the ABD on noncompliant activities, including the details, circumstances, and attempts to prevent recurrences;
3. Demonstration is made of steps taken to remedy the irregularities;
4. Payment is made of the correct amount of tax owed, if the irregularities involved underpayments or nonpayments of tax.

*When do formal audits or investigations start?*

A **formal audit** begins on the date of the pre-audit letter sent by an ABD official to the license and/or permit holder.

A **formal investigation** begins either on the date of the letter by which an ABD official notifies a license and/or permit holder of an investigation, or, in the case of an unannounced investigation, the date on which the ABD official arrives without notice at the licensed premises to conduct the investigation.

*How long does a license and/or permit holder have to pay taxes due if voluntary disclosures involve a tax underpayment or nonpayment?*

License and/or permit holders should submit any tax underpayments or unpaid taxes when irregularities are disclosed. If a license and/or permit holder is unsure of the exact tax liability at the time of disclosure, they may elect to have the ABD calculate the tax liability. In such cases, license and/or permit holders must pay the ABD the calculated tax within 30 days’ notice of the amount due.
Does the ABD always allow special consideration for voluntary disclosures?

No. License and/or permit holders are not eligible if irregularities:
1. Involve fraud or represent willful violations of law that may be referred for criminal investigation/prosecution; or
2. Exist as part of a pattern that involves the same type of conduct that resulted in an earlier voluntary disclosure.

How does the ABD handle accepted voluntary disclosures?

The ABD’s senior management discusses such matters with the license and/or permit holder before deciding on administrative action in response to disclosed irregularities. During the decision-making process, the ABD takes into account:
1. The nature and extent of tax deficiencies or other irregularities;
2. The timing and completeness of disclosures;
3. The license and/or permit holder’s cooperation;
4. The prior compliance history of the license and/or permit holder;
5. The actions taken by the license and/or permit holder to prevent future noncompliance; and
6. Any other contributing factors, mitigating or otherwise.

What type of administrative action may the ABD take?

The ABD may:
1. Keep written records of the circumstances on file, without issuance of admonitory or warning letters;
2. Issue admonitory or warning letters that document irregularities;
3. Approve settlements of civil liabilities;
4. Suspend a license and/or permit; or
5. Revoke a license and/or permit.

Additionally, the ABD may recommend criminal prosecution where it is warranted. Examples where criminal prosecution may be recommended include bribery of public officials, involvement in organized criminal activities, previous obstruction of justice, and particularly flagrant violations of Iowa Code chapter 123.

Does the ABD consider completed voluntary disclosures as first violations in future administrative actions?

No. The ABD does not consider such completed actions as first violations.
Does the ABD maintain a record of voluntary disclosures?

Yes. Because the ABD treats accepted voluntary disclosures as admissions of noncompliance with laws or rules, records of such matters are maintained for future reference.

Are voluntary disclosures privileged communications?

No. Oral and written statements of voluntary disclosure of noncompliance are not privileged communication.

Where should license and/or permit holders send voluntary disclosures?

All voluntary disclosures must be in writing and sent to:

Iowa Alcoholic Beverages Division  
Bureau of Regulatory Compliance  
Attn: Voluntary Disclosure  
1918 SE Hulsizer Rd.  
Ankeny, IA 50021-3941

Voluntary disclosures may be sent electronically to compliance@iowaabd.com, however, a hard copy mailing is required. License and/or permit holders may also make oral disclosures to appropriate ABD officials if the required written disclosure is made within 10 calendar days of the verbal disclosure.

Who should license and/or permit holders contact with additional questions?

Additional questions on voluntary compliance should be emailed to compliance@iowaabd.com.
If you wish to contact ABD with a comment or question, please use the link below and complete the form.

[Contact Form]

If you wish to file a complaint for review by the Regulatory Compliance Bureau, please use the link below and complete the form. Please be as detailed as possible. You may remain anonymous, but a contact phone number or email is suggested in the event that the ABD needs further information to conduct an investigation.

[Complaint Form]
RETURN POLICY
It is the policy of the Iowa Alcoholic Beverages Division (ABD) to ensure consistency with all products and how they are returned. Products included in the returns process are: broken items, defective items, misorders, shortages, and overages. Return of products must follow the steps and guidelines listed in the returns procedure below to ensure a fair and level playing field among Class “E” licensees. Any exceptions to the returns policy must be approved by the Operations Manager, Administrator, or Comptroller.

PROCEDURE
If found upon delivery, Division drivers can accept returns due to breakage, defective items, misorders, shortages and overages. If case/bottle counts do not match the invoice, the customers and drivers must note the adjustments and sign the final page of the invoice when making returns. As soon as the customer has identified the item(s) that are short/long, it is their responsibility to contact ABD by utilizing the online return form or by calling ABD directly.

Return requests made after the conclusion of a delivery must be submitted electronically within three business days from delivery. Drivers cannot accept returns for products from prior deliveries without pre-authorization of an electronically submitted customer return request.

• When making returns due to missing or broken bottles or for misorderd product, the product must be returned with its original packaging along with the case box; this includes boxes used to transport split cases.
• No special order or highly allocated products are to be returned without the approval of Division management.
• No returns of product broken or damaged on the licensed premises if damaged by store employees.
• Unsalable products, along with merchandise transfers, must be ready for return prior to the Division driver's arrival for delivery.
• All minis (50ml bottles) including pouches must be returned as an entire sleeve to receive credit. Single bottles will not be accepted.
• Spoiled products need to be returned to ABD.
• Once an item is placed on a shelf in a retail location, or marked for sale, the product is then ineligible for return.
• Requests to return single bottles purchased as a case will not be approved for return.

For breakage and damaged products, the Division follows federal Alcohol and Tobacco Tax and Trade Bureau regulations. TTB Regulations 27 CFR 11.32 clearly defines breakage and damaged products. If the damage is caused by the product itself, such as product deterioration which results in leaking containers or damaged labels, the product will be considered a defective product under 27 CFR 11.32, and credit will be issued against outstanding indebtedness.

The Division will not allow returned products that do not meet the TTB definition of breakage and/or damaged products. For more information on TTB regulations, visit the Alcohol and Tobacco Tax and Trade Bureau website.
Hennessy

Hennessy Allocations

Moët Hennessy, the manufacturer of Hennessy brand cognac products, is currently experiencing a product supply shortage due to weather damage to vital ingredient crops. As a result of the supply shortage, Moët Hennessy is limiting the number of cases made available to the Division for sale to class “E” licensees. In a meeting with Moët Hennessy officials in March, it was confirmed that this limitation on supply can be expected for months to come.

In order to accommodate this supply shortage and ensure that all of our class “E” licensees have an opportunity to purchase Hennessy products, we are taking the following steps:

1. Each class “E” licensee will be limited to purchasing no more than 2 cases of each size of Hennessy VS (50mL, 100mL, 200mL, 375 mL, 750mL, 1L, and 1.75L) per order, per week. **Will-call orders cannot be used to order additional cases.**

2. As new shipments of Hennessy VS are received they will be released for ordering based on a rotating schedule.
   - Example: If a shipment is received and released for order on a Monday, the next shipment that is received will be released for order on a Tuesday.

We feel that taking these steps will create fair and equitable ordering opportunities for all of our class “E” licensees across the state. If any changes are made to our policies and procedures during this shortage, they will be announced here in the Messenger.

We appreciate your patience and cooperation as we work to accommodate this supply issue.
# Products Update

## New Codes

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>SIZE</th>
<th>PACK</th>
</tr>
</thead>
<tbody>
<tr>
<td>266</td>
<td>Patron Silver Special Tin (TEMP)</td>
<td>0.750</td>
<td>12</td>
</tr>
<tr>
<td>4184</td>
<td>Ardbeg An Oa (TEMP)</td>
<td>0.750</td>
<td>6</td>
</tr>
<tr>
<td>5677</td>
<td>Johnnie Walker Black “The Jane Walker”</td>
<td>0.750</td>
<td>6</td>
</tr>
<tr>
<td>11909</td>
<td>Caliber Canadian Premium (TEMP)</td>
<td>0.375</td>
<td>12</td>
</tr>
<tr>
<td>19094</td>
<td>Jim Beam Cubs Edition (TEMP)</td>
<td>0.750</td>
<td>12</td>
</tr>
<tr>
<td>27126</td>
<td>Russells Reserve Rye 6YR</td>
<td>0.750</td>
<td>6</td>
</tr>
<tr>
<td>28131</td>
<td>Cody Road Honey</td>
<td>0.750</td>
<td>6</td>
</tr>
<tr>
<td>28704</td>
<td>Nolets Silver Gin</td>
<td>0.750</td>
<td>4</td>
</tr>
<tr>
<td>28877</td>
<td>Tanqueray Malacca Gin</td>
<td>1.000</td>
<td>6</td>
</tr>
<tr>
<td>29708</td>
<td>Caliber Gin (TEMP)</td>
<td>0.375</td>
<td>12</td>
</tr>
<tr>
<td>36763</td>
<td>American Anthem Vodka Mini</td>
<td>0.500</td>
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</tr>
<tr>
<td>36764</td>
<td>American Anthem Vodka</td>
<td>0.750</td>
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</tr>
<tr>
<td>36765</td>
<td>American Anthem Vodka</td>
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<td>6</td>
</tr>
<tr>
<td>38580</td>
<td>Wisconsin Club Vodka</td>
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<td>12</td>
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<tr>
<td>46146</td>
<td>Caliber Spiced Rum (TEMP)</td>
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<tr>
<td>48690</td>
<td>Martell VSSD</td>
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<tr>
<td>48699</td>
<td>Martell VSSD</td>
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<tr>
<td>63520</td>
<td>Sauza Lime Margarita RTD (TEMP)</td>
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<tr>
<td>63687</td>
<td>Salvadors Spice Lime Margarita</td>
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</tr>
<tr>
<td>63691</td>
<td>Salvadors Top Shelf Strawberry Margarita</td>
<td>1.750</td>
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</tbody>
</table>
# Products Update

## New Codes

<table>
<thead>
<tr>
<th>CODE</th>
<th>DESCRIPTION</th>
<th>SIZE</th>
<th>PACK</th>
</tr>
</thead>
<tbody>
<tr>
<td>64250</td>
<td>Averna Amaro</td>
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</tr>
<tr>
<td>64923</td>
<td>Ciroc Summer Colada Mini (TEMP)</td>
<td>0.750</td>
<td>4</td>
</tr>
<tr>
<td>64924</td>
<td>Ciroc Summer Colada (TEMP)</td>
<td>0.750</td>
<td>12</td>
</tr>
<tr>
<td>65025</td>
<td>Ciroc Summer Colada (TEMP)</td>
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<tr>
<td>67534</td>
<td>Kahlua Vanilla</td>
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<tr>
<td>68752</td>
<td>Mullins Irish Cream Liqueur</td>
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</tr>
<tr>
<td>77955</td>
<td>Smirnoff Red, White &amp; Berry Mini (TEMP)</td>
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<td>12</td>
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<tr>
<td>89952</td>
<td>Wisconsin Club Gold Tequila</td>
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<td>12</td>
</tr>
<tr>
<td>89956</td>
<td>Wisconsin Club Gold Tequila</td>
<td>1.750</td>
<td>6</td>
</tr>
</tbody>
</table>
The Division will no longer be involved in the publishing of monthly promo deals. It is the responsibility of the brokers and suppliers who offer the deals to communicate their promos to class “E” licensees each month. On the following page, you will find the brokers and suppliers who offer monthly deals, their contact information and how they plan to communicate these deals each month.
Broker/Supplier Contact Info

Company name: American Liberty
Contact name: Tim Secory
Contact email: SGWSIAINVOICE@SGWS.COM
Contact phone: 515-986-7241
How promos will be communicated: Emailed to licensees

Company name: Cedar Ridge Distillery
Contact name: Brandon Parizek
Contact email: brandon@cedarridgewhiskey.com
Contact phone: 319-857-4300
How promos will be communicated: www.cedarridgewhiskey.com/iowa-retailer-portal

Company name: Coastal Pacific
Contact name: Greg King
Contact email: SGWSIAINVOICE@SGWS.COM
Contact phone: 515-986-7241
How promos will be communicated: Emailed to licensees

Company name: Dehner Distillery
Contact name: Joseph Dehner
Contact email: rebates@dehnerdistillery.com
Contact phone: 515-559-4879
How promos will be communicated: http://www.dehnerdistillery.com/rebates.html

Company name: Iowa Distilling Company
Contact name: Kyle Doyle
Contact email: iowadistilling@gmail.com
Contact phone: 515-981-4216

Company name: Mississippi River Distilling Company
Contact name: Sean McQueen
Contact email: sean@mrdistilling.com
Contact phone: 563-320-2131
How promos will be communicated: http://www.mrdistilling.com/iowapromos

Company name: Southern Glazer’s Wine and Spirits
Contact name: Sam Crowder
Contact email: SGWSIAINVOICE@SGWS.COM
Contact phone: 515-986-7241
How promos will be communicated: Emailed to licensees

Company Name: JBW Group of Iowa
Contact Name: Debi Kemp
Contact Email: Dkemp@johnsonbrothers.com
Contact Phone: 515-280-4866
How promos will be communicated: Emailed to licensees