

Certificate of Compliance by Non-Participating Manufacturer Regarding Quarterly
Escrow Deposits for the State of Nebraska

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General Template Instructions:

Follow these steps to complete and submit your Certificate of Compliance (“CoC”):

1. Check the form revision date to be sure you have the newest form.
2. Complete and save your CoC as an .xlsx file.
3. Email the completed CoC and proof of deposit to ago.tobacco@nebraska.gov.

Important

- Don’t copy or alter cells or their formatting.
- Enter amounts in the blue boxes; white boxes are populated for you.
- The CoC must be submitted by the person executing the form, or by their designated agent.
- Incomplete CoC submissions will not satisfy the submission requirements.

Certificate of Compliance (“CoC”) Instructions:

Part 1: Manufacture’s Identification

Row 10-15 Enter the manufacture’s name, address, phone, fax, and email address

Part 2: Calendar Quarter

Row 18 Enter the calendar quarter for the CoC.
Row 19 Enter the year for the CoC.
Row 20 Select “X” from the dropdown box if this is an amended CoC. File the amended CoC with the corrected amounts, not net amounts.

Part 3: Units Sold

Row 24 Enter the number of “units sold” in Nebraska during the indicated calendar quarter.

Part 4: Brands Sold

Row 29 Enter the names of all brands sold in Nebraska during the calendar quarter.

Part 5: Escrow Rates for Deposits

Row 34-36 White Boxes are auto-populated by calculations based on entries in Part 2 and Part 3. Total required quarterly escrow deposit is indicated on line (c).

Part 6: Financial Institution

Row 43-48 Enter the financial institution name and address. Enter the escrow account number and cumulative total amount held in the Nebraska sub-account.

Part 7: Signature

Row 69-73 By entering this information, you certify that this report is signed by an officer of the manufacturer who is authorized to bind the applicant company.

Resources

The file titled *Quarterly Escrow Certificate of Compliance Instructions & FAQs*, hosted on the Attorney General's website, contains deadlines, frequently asked questions, and definitions.

You can email questions to ago.tobacco@nebraska.gov, or phone 402-471-1276