

WX-10

(REV. 9/2023)

Kentucky Housing Corporation

Contractor Weatherization Application

Contractor Name: _____

Contractor Telephone Number: _____

Contractor Address: _____

Services Offered: _____

EXPERIENCE

List all owners'/partners' names, address and years of experience in construction and or HVAC (Use additional sheets if necessary.)

1. Name: _____

Address: _____

Years of Experience: _____

2. Name: _____

Address: _____

Years of Experience: _____

3. Name: _____

Address: _____

Years of Experience: _____

4. Name: _____

Address: _____

Years of Experience: _____

Have you performed weatherization work for another agency before? Yes or No

If yes, please list agency name(s): _____

REFERENCES

List three customers for whom you have done contracting work for:

1. Name: _____

Address: _____

Telephone: _____

2. Name: _____

Address: _____

Telephone: _____

3. Name: _____

Address: _____

Telephone: _____

INSURANCE

Liability insurance: Yes or No

Policy Number: _____

Insurance Company: _____

In consideration of being placed on the "APPROVED CONTRACTORS LIST", he/she will comply with the following conditions on all weatherization work performed within the _____ area.

(Subgrantee)

1. Contractor will use the forms required by Kentucky Housing Corporation.
2. All work will be approved by the aforementioned subgrantee. The Kentucky Weatherization Policy Manual and Field Guide will be used as a guide for work performance, and all work will be subject to such inspections as deemed necessary.
3. If such work performed by the contractor is found to be unsatisfactory or if contract relations between contractor, client, or other parties are found to be unsatisfactory, contractors name may be removed from the "APPROVED CONTRACTORS LIST".
4. Adequate proof of Liability Insurance and Workers Compensation Insurance will be provided.
5. Contractor will abide by the EQUAL OPPORTUNITY provisions of the Civil Rights Act.
6. Contractor certifies that they have not been suspended or debarred from performing work and business functions.

The undersigned contractor hereby applies to be placed on the "APPROVED CONTRACTORS LIST", maintained by the _____ (subgrantee name) for the purpose of performing weatherization work for the Weatherization Assistance Program. Contractor certifies that all information provided is complete, factual and that no unfavorable information has been withheld.

Signature

Printed Name

Title

Date

Subgrantee Use Only

Subgrantees verified on www.sam.gov that the contractor is not suspended or debarred. Confirmation documentation is in the contractor file.

Initial

Date

Kentucky Housing Corporation
Department of Design & Construction Review
(Weatherization)

Non-Financial Agreement:

THIS AGREEMENT made and entered into this _____ day of _____ 20____, by and between _____ (agency) hereinafter referred to as _____ and (contractor) "Contractor".

WITNESSETH

WHEREAS, the Kentucky Housing Corporation, has allocated funds to _____ to implement and supervise a Weatherization Program designed to improve the health, safety and energy conservation of certain structures owed or rented by persons eligible for benefits of the Weatherization Program; and

WHEREAS, the contractor had completed and executed a Weatherization Contractor Application and delivered such to _____ and desired to provide the work necessary to effect the weatherization changes contemplated by the Weatherization Program.

NOW, THEREFORE, the parties hereto, in consideration of the premises and the mutual promises herein contained, hereby covenant and agree as follows:

1. The Contractor Shall:
 - 1.1 Perform all emergency repairs in relation to heating systems immediately.
 - 1.2 Commence and complete all work by the dates agreed upon between _____ and the contractor as put forth in the weatherization form WX-14 of his Contract.
 - 1.3 Perform work in an acceptable manner and Contractor hereby warrants to _____ that all equipment furnished under this contract will be new, unless otherwise agreed to by the parties, and that all al work will be of good quality, free from faults and defects, and in conformance with Kentucky Housing Corporation Weatherization Operations Manual's agreed to by the parties hereto. Furthermore, all work not conforming to these requirements, including substitutions not properly approved and authorized, may be considered defective.
 - 1.4 Perform, supervise, and direct the work using his/her best skill and attention, said Contractor being solely responsible for all construction, means, methods, techniques, sequences, and other procedures.
 - 1.5 Be responsible to _____ for the acts and omissions of his employees, Subcontractors and their agents and employees, and other persons performing any other work under a contract with the Contractor.
 - 1.6 Provide and pay for any labor, materials, equipment, tools, construction equipment and machinery, transportation, and other facilities and services necessary for the proper execution and completion of work.
 - 1.7 Give all notices and comply with all federal, state, and locale codes, ordinances, rules and regulations including NFPA 54, 211, AND 31 bearing on the performance of the work.
 - 1.8 At all times, keep the premises and rooms clean and free from accumulation of waste materials or rubbish caused by his/her operations, and at the completion of the work, Contractor shall remove all his rubbish and waste materials from and about the project, as well as all his tools, construction equipment, machinery, surplus materials, and any materials and equipment removed or replaced by the Contractor as part of the of the work performed. If the contractor fails to clean up at the completion of the work _____ may do so, and the cost thereof shall be charged to the contractor and may be offset against any obligations owed to the Contractor by _____.

Kentucky Housing Corporation
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Non-Financial Agreement:

1.9 Re-execute any work that in the opinion of _____ fails to conform to the requirements of the Contract and appear during the progress of the work, and shall remedy any defects due to faulty materials or workmanship which appears within a period of one (1) year from the date of the completion. The provisions of this article apply to work done by Subcontractors as well as to work done by direct employees of the Contractor.

1.10 Prior to disbursement of funds by _____, furnish the Owner or Renter with all the manufactures' and suppliers' written guarantees and warranties covering material and equipment furnished under contract.

1.11 Permit an authorized representative of _____ to inspect the weatherization work at any time during progress of the work and before final payment is made.

2. _____ shall have the right to require the Contractor to furnish bond covering the faithful performance of the Contract and payment of all obligations arising thereunder.

3. The Contractor shall purchase and maintain such insurances as will protect him/her and _____ from claims set forth below which may arise out of or result from the Contractor's operation under this contract, whether such operations be by him/herself or by a Subcontractor or by anyone directly or indirectly employed by any of them, or by anyone for whose acts any of them may be liable.

3.1 Claims under Worker's Compensation, disability benefits, and other similar employee benefit Acts. Should Contractor fail to carry Worker's or Workman's Compensation benefits, he will assume the liability for claims which may arise out of or result from contractor's or any of his employees' or Subcontractors', operations under contract.

3.2 Claims for damages because of bodily injury, occupational sickness, disease or death of his/her employee.

3.3 Claims for damages because of bodily injury, occupational sickness, disease or death other than employees.

3.4 Claims for damages insured by the usual personal injury liabilities coverage which are sustained (1) by any person as a result of any offence directly or indirectly related to the employment of such person by the Contractor or (2) by any other person.

3.5 Claims or damage because of bodily injury of any person or property damage rising out of this ownership, maintenance, or use of any motor vehicle.

4. The insurance required by section 3 hereof shall be written in amounts acceptable to _____, and prior to commencement of the work, _____ has the right to require the contractor to file with _____ certificates of insurance evidencing such coverage.

5. To the fullest extent permitted by law, the Contractor shall indemnify and hold harmless _____ and their agents and employees from and against claims, damages, losses, and expenses, including but not limited to attorney's fees, arising out of or resulting from, whether directly or indirectly, to performance of the work, the enforcement of this Agreement, or any other source. In any and all claims against _____ or any of their agents or employee's by any employee of the Contractor, any Subcontractor, anyone directly or in directly employed by any of them, or anyone for whose acts of them be liable, the indemnification obligation herein shall not be limited in any way by any limitation of amount or type of damages, compensation or benefit payable by or for the contractor or Subcontractor under Worker's or Workmen's Compensation Acts, Disability Benefit Acts or Employee Benefit Acts.

6. Contractor will furnish all the labor, equipment, and materials, and do all the work described in the WX-900 and WX-900P in accordance with this Agreement.

Kentucky Housing Corporation
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Non-Financial Agreement:

7. After Contractor has completed all work and passed a final inspection by _____ (agency), _____ (agency) hereby promise to pay the sum specified in weatherization form WX-14 of this contract provided that the work has been performed in accordance with terms hereof.
8. The weatherization form WX-14 of this contract shall include as attachments any and all proposals, drawing and plans (if applicable), and WX -900.
9. This contract shall be governed by the law of the State of Kentucky.
10. The Contractor and _____ each binds himself, his partners, successors, assigns and legal representatives of such other party in respect to all covenants, agreements, and obligations contained in this Agreement. Neither party to this Agreement shall assign the Agreement or sublet it as a whole without the written consent of the other, nor shall the Contractor assign any monies due or to come due to him hereunder, without the previous written consent of _____.
11. The duties and obligations imposed by this Agreement and the rights and remedies available hereunder shall be in addition to and not a limitation of any duties, obligations, rights and remedies otherwise imposed or available by law.
12. No action or failure to act by _____ shall constitute a waiver of any right or duty afforded under this Agreement, nor shall any such action or failure to act constitute an approval of or acquiescence in any breach thereunder, except as may be specifically agreed in writing.
13. This hereby agreed to be of the essence.
14. Fill out applicable weatherization forms accurately and completely for each individual job.
15. Agency/Contractor Agreement, WX-14, once agreed upon and signed by _____ (agency) and the Contractor, shall become a legal and binding Contract.
16. This Agreement constitutes the complete and final agreement between parties. Any amendments, modifications, additions, or changes thereto shall be voidable unless both parties give there written consent to such amendments, modifications, additions, and changes.

EXECUTED THIS _____ DAY OF _____ 20 _____

Name of Agency

Name of Contactor

Weatherization Coordinator Signature

Contractor Signature (or certified official)

Agency Address

Contractor Address

3. Process contractor payments for jobs in a timely manner. Payment is contingent upon a satisfactory final inspection of the work by a Quality Control Inspector.
4. MPCAAs may assess a fee to the contractor for repeat visits to the home by the Quality Control Inspector as a result of work that does not meet program standards during the initial post inspection.
5. MPCAAs Weatherization Manager shall act as the agency's designated representative for the purposes of this Agreement and shall advise Contractor and its staff as to the implementation of, augmentation of, and compliance with KHC's Weatherization Assistance Program and assessment of program performance. The Weatherization Manager shall serve as the Contractor's point of contact for all issues related to the Agreement.

RECORDKEEPING PROVISIONS

INSPECTION OF RECORDS: The parties recognize the duty to maintain records which may be reviewed by the United States Comptroller General or the appropriate Inspection General appointed under Sections 3 or 8G of the Inspector General Act of 1978. The parties further recognize that the United States Comptroller General or Inspector General may interview any officer or employee regarding activities funded by DOE.

RETENTION OF RECORDS: The parties agree to maintain all records pertaining to this contract for a period of not less than three (3) years after all matters pertaining to this contract (e.g., audit, settlement of audit exceptions, disputes) are resolved in accordance with applicable federal and/or state laws, regulations, and policies (except as may otherwise be specified in this Agreement).

AVAILABILITY OF FUNDING: The parties agree that programs supported with temporary federal funds made available by DOE exist only while such funding is available.

INSURANCE AND LIABILITY

INSURANCE: During the term of this Agreement, the subcontractor shall maintain liability insurance, workers' compensation insurance, employer liability insurance, and such other liability insurance as reasonably necessary to provide adequate coverage against losses and liabilities attributable to the respective acts or omissions in the performance of this Agreement. Specific minimum insurance coverage shall be a) \$800,000.00 for liability insurance to cover any damage to persons or property in connection with weatherization activities performed and b) Master HVAC minimum coverage shall be \$500,000.00 general liability and \$300,000.00 property damage.

To the extent a subcontractor is not self-insured, each shall name MPCA, CAK and KHC as an additional insured on any policy of coverage, with the exception of the workers compensation and any reinsurance. Notice of coverage shall be sent in writing to the attention of the Weatherization Program to:

Multi-Purpose Community Action Agency
P.O. Box 305
207 Washington Street
Shelbyville, KY 40066

And

Community Action Kentucky
101 Burch Court
Frankfort, KY 40601

And

Kentucky Housing Corporation
1231 Louisville Road
Frankfort, KY 40601

The Certificate of Insurance for any policy other than self-insurance or any reinsurance must require that the insurer shall not cancel the coverage without thirty (30) days prior written notice to MPCA, CAK and KHC.

MPCA, CAK and KHC shall be notified within five (5) business days of any cancellation or interruption of insurance coverage. If insurance coverage expires at any time during the term of this contract, the subcontractor shall promptly provide a new Certificate of Insurance evidencing coverage as required herein for not less than the remainder of the term of this contract.

INDEMNIFICATION: Subcontractor shall indemnify and hold MPCA, CAK and KHC harmless from and against all liabilities, obligations, losses, damages, penalties, claims, actions, suits, costs, charges, and expenses, including reasonable attorney fees, which may be imposed upon or incurred by MPCA, CAK and KHC as a result of subcontractor's breach of this Agreement .

REIMBURSEMENT: Subcontractor shall reimburse the agency, CAK or KHC all costs associated for any unit reported as completed under terms of this contract and that has been identified by the agency, CAK or KHC as not being in material compliance with program guidance, procedures, and material specifications and standards. The Subcontractor will be given a reasonable period of time under the circumstances, up to thirty days, to repair the project in order to bring it into compliance with the contractual terms. Failure to make such reasonable and necessary repair may result in a demand for reimbursement.

HOLD HARMLESS: Subcontractor shall hold MPCA, CAK and KHC harmless for any harm, damages, claims, or expenses resulting from weatherization services.

PURCHASING AND PROCUREMENT

LOCAL PURCHASE OF EQUIPMENT, SUPPLIES AND MATERIALS: Where possible and not cost-prohibitive, supplies, equipment and materials less than \$1,000 should be purchased locally.

BUY AMERICAN: To the greatest extent practicable, all equipment and products purchased shall be American-made. DOE Section 1605 requires that purchases of iron, steel and manufactured goods bought with DOE funds to be used in weatherization projects must be produced in the United States in a manner consistent with United States obligations under international agreements. DOE Section 1605's requirement may only be waived upon request by DOE or where non-availability of necessary materials is shown or an unreasonable cost differential is proven in accordance with 48 CFR 25.104(a) and 48 CFR 25.103(b)(1).

GREEN AND ENVIRONMENTALLY FRIENDLY MATERIALS AND CONSTRUCTION TECHNIQUES: The parties agree that where fiscally possible, the Service Providers and subcontractors will attempt to use "green" or environmentally friendly materials and construction techniques, as such become available.

DEBARMENT AND SUSPENSION: Subcontractors must certify and verify that their company is not debarred, suspended or otherwise excluded from or ineligible for participation in Federal assistance programs or activities, and adhere to all debarment and suspension requirements under federal law, including 10 C.F.R. Section 100.113 and authorities cited therein.

LEGAL DUTIES AND OBLIGATIONS

CIVIL RIGHTS OBLIGATIONS: Subcontractors shall comply with Title VI of the Civil Rights Act of 1964, (prohibiting race, color and national origin discrimination including language access for persons with limited English proficiency), Section 504 of the Rehabilitation Act of 1973 (prohibiting discrimination against persons with a disability), Title IX of the Education Amendments of 1972 (prohibiting sex discrimination in education, training and employment programs), the Age Discrimination Act of 1975 (prohibiting age discrimination in the provision of services) and KRS Chapter 344, the Kentucky Civil Rights Act.

CONFLICT OF INTEREST: The parties certify that they are legally entitled to enter into this Contract, and by holding and performing this Contract will not be violating either any conflict of interest statute, KRS 45A.330-45A.340, 45A.990, KRS 164.390, or KRS 11A.040 of the Executive Branch Code of Ethics.

CERTIFICATION OF LOBBYING ACTIVITIES: Subcontractors shall disclose any lobbying activities in accordance with Section 1352, Title 31, U.S. Code. If any funds other than Federal appropriated funds

have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. The undersigned shall require that the language of this certification be included in the award documents for all sub awards at all tiers (including subcontracts, sub grants, and contracts under grants, loans, and cooperative agreements) and that all sub recipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than ten thousand dollars (\$10,000.00) and not more than one hundred thousand dollars (\$100,000.00) for each such failure.

COMPLIANCE WITH FEDERAL, STATE, AND MUNICIPAL REQUIREMENTS: Subcontractors will obtain any required permits and comply with applicable federal, state, and municipal laws, codes, and regulations for work performed pursuant to this contract.

CONFIDENTIALITY: Subcontractors certify that they will comply with the provisions of the Privacy Act of 1974 and instruct its employees to use the same degree of care as it uses with its own data to keep confidential information concerning client data, the business of CAK, the subcontractors or private contractors, KHC, its financial affairs, its relations with its citizens and its employees, as well as any other information which may be specifically classified as confidential by either party in writing to the other. Subcontractors will comply with all Federal and State Regulations and Statutes related to confidentiality. Subcontractors and their employees shall maintain as confidential any information acquired from the applicants or provided by CAK and KHC consistent with the requirements of KRS 194B.060, KRS 205.175 and KRS 205.177. Subcontractors shall not release such information to any person, partnership, corporation or association without the written approval of CAK and KHC. Written approval by CAK and KHC is not required for release to state and federal investigatory authorities.

GOVERNING LAW AND REGULATIONS: All questions as to the execution, validity, interpretation and performance of this Agreement shall be governed by the laws of the Commonwealth of Kentucky.

CONFLICTING STATE AND FEDERAL REQUIREMENTS: The subcontractor agrees that where any requirements of the Commonwealth of Kentucky conflict with requirements imposed on weatherization projects by DOE, the federal law shall control. Any apparent inconsistency between Federal statutes and regulations and awards pursuant to this contract must be referred to the DOE Award Administrator for guidance.

FALSE CLAIMS ACT: The subcontractor agrees that any individual or entity failing to comply with the applicable state and federal laws governing use of DOE funds by submitting a false claim shall be reported to the applicable authority.

ENVIRONMENTAL IMPACT REQUIREMENTS: In accordance with DOE, Section 1609, recipients, grantees and sub grantees will comply with any application environmental impact requirements of the National Environmental Act of 1970 ("NEFA").

MANDATORY DOE REQUIREMENTS

FEDERAL STEWARDSHIP: The parties recognize that DOE will exercise normal Federal stewardship in overseeing the project activities performed under this contract. These stewardship activities include but are not limited to: conducting site visits, reviewing performance and financial reports, providing technical assistance and/or temporary intervention in unusual circumstances to correct deficiencies which develop during the contract period, assuring compliance with terms and conditions, and reviewing technical performance after project completion to ensure that the award objectives have been accomplished.

DECONTAMINATION AND/OR DECOMMISSIONING COSTS: The federal government shall not be responsible for or have any obligation to the recipients, grantees, and subgrantees for (i) Decontamination and/or Decommissioning ("D&D") of any of the recipient's facilities, or (ii) any costs which may be incurred by the recipient in connection with the D&D of any of its facilities due to the performance of the work under this contract, whether said work was performed prior to or subsequent to the effective date of this contract.

GENERAL TERMS AND CONDITIONS

ATTACHMENTS: Any Attachment(s) as referenced in this Agreement is/are incorporated into this Agreement and is/are binding on all Parties. If an Attachment(s) is/are in conflict with this Agreement and its contract clause(s), this Agreement and its contract clauses shall prevail.

SEVERABILITY: It is understood and agreed by the Parties that if any part, term, or provision of this Agreement is held by the courts to be illegal or in conflict with any law of the Commonwealth of Kentucky or of the United States of America, the validity of the remaining portions or provisions shall not be affected, and the rights and obligations of the Parties shall be construed and enforced as if the Agreement did not contain the particular part, term, or provision held to be invalid, if the remainder of the Agreement is capable of performance.

FORCE MAJEURE: Neither Party shall be liable for public utility performance (e.g., Postal service; telephone; Water Company) or for the consequence of public utility non-performance. Events or conditions beyond the reasonable control of the Parties, such as natural disasters, fires, floods, elements, transportation crashes, or utility failures shall not be construed as non-performance, nor shall reductions be applied as a result of such events. Each Party must inform the other in writing with proof of receipt within five (5) business days of the existence of a Force Majeure event or otherwise waive this right as a defense.

OBLIGATION OF GOOD FAITH: Each party shall be obligated to act in good faith in the performance and enforcement of its obligations herein, and shall deal fairly, honestly and reasonably with the other party, having due regard for all relevant facts and circumstances.

ENFORCEABILITY: Subcontractor agrees that if the subcontractor fails to comply with all applicable federal and state requirements governing the use of DOE funds, funds awarded under the program may be withheld, suspended, or recovered in whole or in part. This provision is in addition to all other remedies available to the parties under applicable state and federal laws.

CANCELLATION: Either party has the right to terminate and cancel this Agreement upon thirty (30) days written notice via registered or certified mail outlining the reasons for cancellation. The non-canceling party has the right of appeal.

NOTICES: Unless otherwise instructed, all notices, consents, and other communications required and/or permitted by the Contract shall be in writing. Such notices shall be served upon the agency at:

ATTN: Weatherization Program

Multi-Purpose Community Action Agency

207 Washington Street, PO Box 305, Shelbyville KY 40066

And shall be served upon subcontractor at: _____

EFFECTIVE DATE OF CONTRACT: The effective date of the Agreement is December 10, 2024. This Agreement shall renew automatically for a term of one year upon the expiration of each preceding term unless either party has given written notice of its intention to not renew this Agreement for an additional term; such notice shall be given thirty days prior to the expiration date and pursuant to the notice provisions of this Agreement.

BY: _____

Date

BY: _____

Date

Request for Taxpayer Identification Number and Certification

**Give Form to the
requester. Do not
send to the IRS.**

Print or type See Specific Instructions on page 2.	1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.	
	2 Business name/disregarded entity name, if different from above	
	3 Check appropriate box for federal tax classification; check only one of the following seven boxes: <input type="checkbox"/> Individual/sole proprietor or single-member LLC <input type="checkbox"/> C Corporation <input type="checkbox"/> S Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▶ _____ Note. For a single-member LLC that is disregarded, do not check LLC; check the appropriate box in the line above for the tax classification of the single-member owner. <input type="checkbox"/> Other (see instructions) ▶ _____	4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3): Exempt payee code (if any) _____ Exemption from FATCA reporting code (if any) _____ <i>(Applies to accounts maintained outside the U.S.)</i>
	5 Address (number, street, and apt. or suite no.)	Requester's name and address (optional)
	6 City, state, and ZIP code	
	7 List account number(s) here (optional)	

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

Note. If the account is in more than one name, see the instructions for line 1 and the chart on page 4 for guidelines on whose number to enter.

Social security number												
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Part II Certification

Under penalties of perjury, I certify that:

- The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
- I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
- I am a U.S. citizen or other U.S. person (defined below); and
- The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 3.

Sign Here	Signature of U.S. person ▶	Date ▶
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General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.
Future developments. Information about developments affecting Form W-9 (such as legislation enacted after we release it) is at www.irs.gov/fw9.

Purpose of Form

- An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following:
- Form 1099-INT (interest earned or paid)
 - Form 1099-DIV (dividends, including those from stocks or mutual funds)
 - Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
 - Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
 - Form 1099-S (proceeds from real estate transactions)
 - Form 1099-K (merchant card and third party network transactions)

- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
 - Form 1099-C (canceled debt)
 - Form 1099-A (acquisition or abandonment of secured property)
- Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.
- If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See *What is backup withholding?* on page 2.
- By signing the filled-out form, you:
- Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
 - Certify that you are not subject to backup withholding, or
 - Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income, and
 - Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct. See *What is FATCA reporting?* on page 2 for further information.