



*where quality meets life*

**PFLUGERVILLE**  
**T E X A S**

City of Pflugerville

Bid Number

2017-4

Bid Title

Annual Sidewalk Raising/Repairs

Bid due

October 27, 2016 @ 9:30am

Bid Contact

Wayne Granger, Project Manager

512-990-6400

wayneg@pflugervilletx.gov

Contract Duration

September 30, 2017

Standard Disclaimer

The right is reserved to accept or reject all or part of the bid. The City further reserves the right to waive technicalities and formalities as well as to accept in whole or in part such proposal(s) where the City deems it advisable in protection of the best interests of the City; and to accept the offer considered most advantageous to the City by total bid. The City of Pflugerville will award to the lowest responsible bidder or the bidder that provides goods or services at the best value to the City. Contractor may not sell, sublet, or otherwise assign any part of its responsibilities to others without written consent from the City of Pflugerville.

Bid Information

1. Budget of \$60,000.
2. Certificate of Insurance must be included with bid documents (see attached requirements).
3. Reference Sheet.
4. Completed W9.
5. Purchasing contract rider.
6. Best value criteria as selected.
7. Interlocal cooperative contract agreement.
8. HB1295 information sheet attached.

All documents herein and attached are required to be completed and returned with the response.

Company Name: \_\_\_\_\_

City of Pflugerville  
Bid Number: 2017-4  
Bid Title: Sidewalk Raising/Repairs

Tax ID No: \_\_\_\_\_

Legal Business Name: \_\_\_\_\_

Address: \_\_\_\_\_

City State & Zip: \_\_\_\_\_

Contact: \_\_\_\_\_

Telephone: \_\_\_\_\_

Business Entity Type: \_\_\_\_\_

Email Address: \_\_\_\_\_

Sidewalk Raising/Repairs

Price per square foot \$ \_\_\_\_\_

The maximum contract amount is \$60,000 total payment will not exceed the maximum contract amount. This contract terminates on September 30, 2017. No work completed after September 30, 2017 will be paid for.

Authorized Signature \_\_\_\_\_

Print Name \_\_\_\_\_

“By the signature hereon affixed, the bidder hereby certifies that neither the bidder nor the entity represented by the bidder, or anyone acting for such entity has violated the antitrust laws of this State, codified in section 15.01 et seq., Texas Business and Commerce Code, or Federal Antitrust laws, nor communicated directly or indirectly, the bid made to any competitor or any other person engaged in such line of business.”

Bids are due to: City of Pflugerville, Attn: Sabrina Schmidt, 100 E. Main Street Suite 100, Pflugerville, TX 78660, or mailed to City of Pflugerville, Attn: Sabrina Schmidt, P.O. Box 589, Pflugerville, TX 78691, prior to October 27, 2016 @ 9:30am.

Sealed envelope must have bid number, opening date and time in lower left hand corner.

Bidder's name must also appear on the outside of the envelope.

All Bid documents and specifications may ONLY be downloaded at <http://www.texasbidsystem.com>. It is the bidder's responsibility to check the site for the issuance of any addendums.

City of Pflugerville  
Bid No: 2017-4  
Bid Title: Annual Sidewalk Raising/Repairs

**Specifications:**

These specifications cover the furnishing, boring, drilling, and pumping of material for the purpose of eliminating trip hazards of existing concrete sidewalks. The work described in each item includes the furnishing of all materials, equipment, supplies, tools, the performance of all labor and services, and all incidentals necessary to complete the maintenance of the concrete slab by raising the concrete slab in a neat, efficient, and professional manner. The locations of this work are located throughout Pflugerville. The specific locations will be marked by the Project Manager and reviewed with the Contractor with a minimum of 350 square feet of raising within a 2 block radius. This is an annual contract and repairs will be done at various stages throughout fiscal year 2017 (October 2016-September 2017).

**Maintenance Materials and Methods:**

A. Materials

1. A Cement Slurry Mixture of (3 1/2 BAG MIX, 329lbs/yds.) a HIGH CONTENT CEMENT BASED GROUT shall be used for the purpose of raising the slab.
2. All materials for job site shall at all times be mobile and not stored on the road or walk area, unless agreed upon between Contractor and the City of Pflugerville.
3. All holes drilled for injection pumping shall be repaired with an aggregate mixture to match existing surface as best as possible.

B. Work

1. Holes: The Contractor shall drill holes by whatever means convenient to him, however the Contractor shall exercise caution to prevent cracking of concrete slab in which a hole is being drilled. The hole size for slab raising operations shall be a maximum of 2" in diameter. The holes shall be spaced as necessary to uniformly assure complete communication of mixture between holes.

2. Slab Raising: Slabs shall be raised to eliminate the trip hazard, or as directed by the Project Manager or designated representative. If required, saw cuts shall be made at joints to allow free movement of the work. Saw cutting is incidental to the unit price as bid for slab raising, unless otherwise specified in the bid.
3. Patching Holes: Holes shall be cleaned the full depth of the slab by removing excess slurry/grout and wire brushing exposed sidewalks. Slab raising holes shall not be cleaned out and patched until the slurry/grout that was pumped has been allowed to stabilize.

C. Damage to Slabs:

Any concrete which is damaged due to negligence by the contractor shall be replaced/repared by the contractor at the contractor's expense. Removal of the damaged area shall be accomplished by whatever means considered practical by the contractor, subject to the approval of the Project Manager or designated representative. Removal and replacement limits shall be defined by the nearest existing expansion joint. The Project Manager or designated representative may direct that a new joint be saw cut near the damaged area.

D. Damage to Grassed/Vegetation Areas:

Grassed/vegetation areas which are damaged by the contractor shall be restored at the contractor's expense to the conditions equal to or better than that existing prior to commencement of work.

E. Damage to Irrigation System

Any irrigation system which is damaged due to negligence by the contractor shall be repaired/replaced by the contractor at the contractor's expense.

F. Utility Conflicts and Coordination:

If the contractor damages any utilities he shall promptly notify the utility and the Project Manager.

G. Clean Up:

Sidewalks and slabs that are raised under this project shall be thoroughly scraped and swept after completion of slab raising but prior to patching. The contractor shall maintain a thorough and systematic clean-up operation that follows closely behind the construction of the work. The contractor shall leave all work areas in broom clean condition. The contractor shall remove and properly dispose of all dirt, debris, and excess materials resulting from the execution of the work to the satisfaction of the Project Manager or designated representative. Defects of any nature shall be promptly corrected.

H. Traffic Control

1. The Contractor shall furnish and install all construction signs, pavement markings, barricades, and all other safety controls for the duration of each work order.
2. The contractor shall remove barriers, signs, and other contractor material and equipment from the project site at the completion of the work order.

**Measurements**

The number and location of existing concrete panels scheduled for slab raising under this Project will be identified by the Project Manager or designated representative.

Sidewalk panels at the designated sites, scheduled to be jacked/raised, shall be measured by the square foot of anticipated repair.

The work shall be deemed complete when all locations selected by the Project Manager or designated representative have been completed. Work at each location shall be accepted when it is completed to the satisfaction of the Project Manager or designated representative.

City of Pflugerville  
Insurance Requirements

Bidder/Proposer performing work on City property or public right-of-way for the City of Pflugerville shall provide the City a certificate of insurance evidencing the coverage provisions identified herein. Bidder/Proposer shall provide the City evidence that all subcontractors performing work on the project have the same types and amounts of coverage as required herein or that the subcontractors are included under the contractor's policy. The City, at its own discretion, may require a certified copy of the policy.

All insurance companies and coverage must be authorized by the Texas Department of Insurance to transact business in the State of Texas and must be acceptable to the City of Pflugerville.

Listed below are the types and amounts of insurance required. The City reserves the right to amend or require additional types and amounts of coverage or provisions depending on the nature of the work.

| Type of Insurance                                                                                                                                                                                 | Amount of Insurance                                                                              | Provisions                                                                                                                                                                                                                                                                    |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Commercial General (Public) Liability to include coverage for:<br>Premises/Operations<br>Products/ Completed<br>Operations<br>Independent Contractors<br>Personal Injury<br>Contractual Liability | 1,000,000 per occurrence,<br>2,000,000 general aggregate;<br><br>2,000,000 combined single limit | City to be listed as additional insured and provide 30-days notice of cancellation or material change in coverage<br><br>City to be provided a waiver of subrogation<br><br>City prefers that insurer be rated B+V1 or higher by A.M. Best or A or higher by Standard & Poors |
| Business Auto Liability                                                                                                                                                                           | 1,000,000 combined single limit                                                                  | City to be provided a waiver of subrogation                                                                                                                                                                                                                                   |
| Workers' Compensation & Employers Liability                                                                                                                                                       | Statutory Limits<br>1,000,000 each accident                                                      | City to be provided a waiver of subrogation                                                                                                                                                                                                                                   |

Questions regarding this insurance should be directed to the City of Pflugerville (512)990-6100 A contract will not be issued without evidence of Insurance.

## REFERENCE SHEET

Please complete and return this form with the Solicitation response

Bid No: 2017-4

Bid Title: Annual Sidewalk Raising/Repairs

Bidders Name: \_\_\_\_\_ Date \_\_\_\_\_

Provide the name, address, telephone and point of contact of at least three customers that have utilized your company for sidewalk raising/repairs. References will be checked prior to award. Any negative responses received may result in disqualification of bid.

1. Company's Name \_\_\_\_\_  
Name of Contact \_\_\_\_\_  
Title of Contact \_\_\_\_\_  
E-Mail Address \_\_\_\_\_  
Present Address \_\_\_\_\_  
City, State, Zip Code \_\_\_\_\_  
Telephone Number \_\_\_\_ ( ) \_\_\_\_\_ Fax Number \_\_\_\_ ( ) \_\_\_\_\_

2. Company's Name \_\_\_\_\_  
Name of Contact \_\_\_\_\_  
Title of Contact \_\_\_\_\_  
E-Mail Address \_\_\_\_\_  
Present Address \_\_\_\_\_  
City, State, Zip Code \_\_\_\_\_  
Telephone Number \_\_\_\_ ( ) \_\_\_\_\_ Fax Number \_\_\_\_ ( ) \_\_\_\_\_

3. Company's Name \_\_\_\_\_  
Name of Contact \_\_\_\_\_  
Title of Contact \_\_\_\_\_  
E-Mail Address \_\_\_\_\_  
Present Address \_\_\_\_\_  
City, State, Zip Code \_\_\_\_\_  
Telephone Number \_\_\_\_ ( ) \_\_\_\_\_ Fax Number \_\_\_\_ ( ) \_\_\_\_\_

Failure to provide the required information with the solicitation response may automatically disqualify the response from consideration of award.

**STANDARD GOVERNMENTAL CONTRACT AND PURCHASING RIDER  
FOR CONTRACTS WITH THE CITY OF PFLUGERVILLE, TEXAS**

(Version 2/1/12)

By submitting a response to a solicitation or bid, or by entering into a contract for goods or services and/or by accepting a purchase order, the contracting party identified below agrees that the below terms and conditions shall govern all agreements with the City unless otherwise agreed to by a specifically executed provision within the contract and if permissible by law. Absent a specifically executed provision, the below terms are BINDING and SUPERSEDE any and all other terms and/or conditions whether oral or written.

**1. Application.** This Governmental Rider applies to, is part of, and takes precedence over any conflicting provision in or attachment to the Contract (Contract) (attached hereto) of \_\_\_\_\_ (Vendor). The Contract involved in this Rider is described as follows:

*Title of Contract:* Bid # 2017-4 Annual Sidewalk  
Raising/Repairs

**2. Payment Provisions.** The City's payments under the Contract, including the time of payment and the payment of interest on overdue amounts, are subject to Chapter 2251, Texas Government Code. The City reserves the right to modify any amount due to contractor presented by invoice to the City if necessary to conform the amount to the terms of the contract.

**3. Multiyear Contracts.** If the City does not appropriate funds to make any payment for a fiscal year after the City's fiscal year in which the contract becomes effective and there are no proceeds available for payment from the sale of bonds or other debt instruments, then the Contract automatically terminates at the beginning of the first day of the successive fiscal year. (Section 5, Article XI, Texas Constitution) It is understood and agreed the City shall have the right to terminate the agreement at the end of any City fiscal year if the governing body of the City does not appropriate funds sufficient to continue the contract, as determined by the City's budget for the fiscal year in question. The City may execute such termination by giving contractor a written notice of termination at the end of its then current fiscal year.

**4. Best Value Determination.** All competitive bids or proposals received shall be evaluated based on the best value for the City. Best value shall be determined by any relevant criteria specifically listed in the solicitation and by considering all or part of the criteria listed below.

- a. Bid price
- b. Reputation of the bidder and of bidder's goods and services
- c. The quality of the bidder's goods or services
- d. The extent to which the goods or services meet the City's needs
- e. Bidder's past relationship with the City - All vendors shall be evaluated on their past performance and prior dealings with the City to include, but not limited to, failure to meet specifications, poor quality, poor workmanship, and late delivery.

**5. Local Preference.** The City Council supports the local preference option for purchasing. In accordance with Chapter 271.9051 of the State of Texas Local Government Code, the City Council may choose to award a competitive bid to a bidder whose principal place of business is in the City limits, provided that this bid is within 5% of the lowest bid price received.

**6. No Ex-Parte Communications during Competitive Bidding Period.** To insure the proper and fair evaluation of a response, the City prohibits ex parte communication (e.g., unsolicited) initiated by the proposed contractor to a City official or employee evaluating or considering the responses prior to the time a formal decision has been made. Questions and other communication from vendors will be permissible until 5:00 pm on the day specified as the deadline for questions. Any communication between responder and the City after the deadline for questions will be initiated by the appropriate City official or employee in order to obtain information or clarification needed to develop a proper and accurate evaluation of the response. Ex parte communication may be grounds for disqualifying the offending responder from consideration or award of the solicitation then in evaluation, or any future solicitation.

**7. Abandonment or Default.** A contractor who abandons or defaults the work on the contract and causes the City to purchase the services elsewhere may be charged for any increased cost of goods, materials and/or services related thereto and shall be considered disqualified in any re-advertisement of the service and may not be considered in future bids for the same type of work for a period of three years for the same scope of work, goods or services.

**8. Disclosure of Litigation.** Each contractor shall include in its proposal a complete disclosure of any civil or criminal litigation or investigation pending which involves the respondent or which has occurred in the past in which the respondent has been judged guilty or liable by a competent court regardless of whether the Court Order or Judgment is final or on appeal.

**9. Cancellation.** The City reserves the right to cancel the contract without penalty by providing 30 days prior written notice to the contracting party. Termination under this paragraph shall not relieve the contractor of any obligation or liability that has occurred prior to cancellation. **NOTE: This contract is subject to cancellation, without penalty, at any time the City deems the vendor to be non-compliant with contractual obligations.**

**10. Annual Vendor Performance Review.** The City reserves the right to review the vendor's performance annually and to cancel all or part of the agreement (without penalty) or continue the contract through the next period.

**11. Compliance with other laws and certification of eligibility to contract.** Any offer to contract with the City shall be considered an executed certification that the contractor shall comply with all federal, state, and local laws, statutes, ordinances, rules and regulations, (as amended during the contracting period) and any orders and decrees of any court or administrative bodies or tribunals in any matter affecting the performance of the resulting agreement, including without limitation, immigration laws, workers' compensation laws, minimum and maximum salary and wage statutes and regulations, and licensing laws and regulations. *Additionally, such offer shall indicate that the contractor has fully read and understood the terms and conditions for eligibility to contract with the City pursuant to Chapter 38 of the City's Ordinances and certifies they are in compliance with those local requirements.* When requested, the contractor shall furnish the City with satisfactory proof of its compliance within 10 days or any contract with the City is void.

**12. Compliance with all Codes, Permitting and Licensing Requirements.** The successful contractor shall comply with all national, state and local standards, codes and ordinances as well as any other authorities that have jurisdiction pertaining to equipment and materials used and their application. None of the terms or provisions of the specification shall be construed as waiving any rules, regulations or requirements of these authorities. The successful bidder shall be responsible for obtaining all necessary permits, certificates and/or licenses to fulfill contractual obligations.

**13. Liability and Indemnity of City.** Any provision of the Contract is void and unenforceable if it: (1) limits or releases either party from liability that would exist by law in the absence of the provision; (2) creates liability for either party that would not exist by law in the absence of the provision; or (3) waives or limits either party's rights, defenses, remedies, or immunities that would exist by law in the absence of the provision. (Section 5, Article XI, Texas Constitution)

**14. Indemnity and Independent Contractor Status of Contractor.** Contractor shall indemnify, save harmless and defend the City, its officers, agents, and employees from and against any and all suits, actions, legal proceedings, claims, demands, damages, costs, expenses, attorney's fees and any and all other costs or fees (whether grounded in Constitutional law, Tort, Contract, or Property Law, or raised pursuant to local, state or federal statutory provision), arising out of the performance of the resulting agreement and/or arising out of a willful or negligent act or omission of the contractor, its officers, agents, and employees. It is understood and agreed that the contractor and any employee or sub-contractor of contractor shall not be considered an employee of the City. The contractor shall not be within protection or coverage of the City's workers' compensation insurance, health insurance, liability insurance or any other insurance that the City from time to time may have in force and effect. City specifically reserves the right to reject any and all contractor's employees, representatives or sub-contractors and/or their employees for any cause, should the presence of any such person on City property or their interaction with City employees be found not in the best interest of the City, harassing, or is found to interfere with the effective and efficient operation of the City's workplace.

**15. Liens.** Contractor agrees to and shall indemnify and save harmless the City against any and all liens and encumbrances for all labor, goods and services which may be provided under the resulting agreement. At the City's request the contractor or subcontractors shall provide a proper release of all liens, or satisfactory evidence of freedom from liens shall be delivered to the City.

**16. Confidentiality.** Any provision in the Contract that attempts to prevent the City's disclosure of information that is subject to public disclosure under federal or Texas law or regulation, or court or administrative decision or ruling, is invalid. (Chapter 552, Texas Government Code)

**17. Tax Exemption.** The City is not liable to Vendor for any federal, state, or local taxes for which the City is not liable by law, including state and local sales and use taxes (Section 151.309 and Title 3, Texas Tax Code), and federal excise tax (Subtitle D of the Internal Revenue Code) for certain purchases. Accordingly, those taxes may not be added to any item. Texas limited sales tax exemption certificates will be furnished upon request. Vendors shall not charge for said taxes. If billed, the City will remit payment less sales tax.

**18. Contractual Limitations Period.** Any provision of the Contract that establishes a limitations period that does not run against the City by law or that is shorter than two years is void. (Sections 16.061 and 16.070, Texas Civil Practice and Remedies Code)

**19. Sovereign Immunity.** Any provision of the Contract that seeks to waive the City's immunity from suit and/or immunity from liability is void unless agreed to by specific acknowledgement of the provision within the contract.

**20. Governing Law and Venue.** Texas law governs this Contract and any lawsuit on this Contract must be filed in a court that has jurisdiction in Travis County, Texas.

**CITY OF PFLUGERVILLE, TEXAS**

**VENDOR**

By: \_\_\_\_\_

\_\_\_\_\_

City Manager

Title: \_\_\_\_\_

Date: \_\_\_\_\_

Date: \_\_\_\_\_



Best value criteria

- ☒ 1. The Purchase Price
- ☒ 2. The reputation of the bidder and the bidder's goods or services
- ☒ 3. The quality of bidder's goods or services
- ☒ 4. The extent to which the goods or services meet the municipality's needs
- ☒ 5. The bidder's past relationship with the municipality
- ☐ 6. The impact on the ability of the municipality to comply with laws and rules relating to contracting with historically underutilized businesses and non-profit organizations employing persons with disabilities
- ☐ 7. The total long-term cost to the municipality to acquire the bidder's goods or services
- ☒ 8. Any relevant criteria specifically listed in the bids or proposals
- ☒ 9. Compliance with Chapter 38 of the City of Pflugerville ordinance



### Interlocal Cooperative Contracting

Other governmental entities within the State of Texas may be extended the opportunity to purchase off of the City of Pflugerville's solicitation, with the consent and agreement of the successful vendor(s) and the City of Pflugerville. Such consent and agreement shall be conclusively inferred from lack of exception to this clause in the vendor's response. However, all parties indicate their understanding and all parties hereby expressly agree that the City of Pflugerville is not an agent of, partner to, or representative of those outside agencies or entities and that the City of Pflugerville is not obligated or liable for any action or debts that may arise out of such independently-negotiated "piggyback" procurements.

Vendor Name: \_\_\_\_\_

Agree \_\_\_\_\_

Disagree \_\_\_\_\_

Date: \_\_\_\_\_

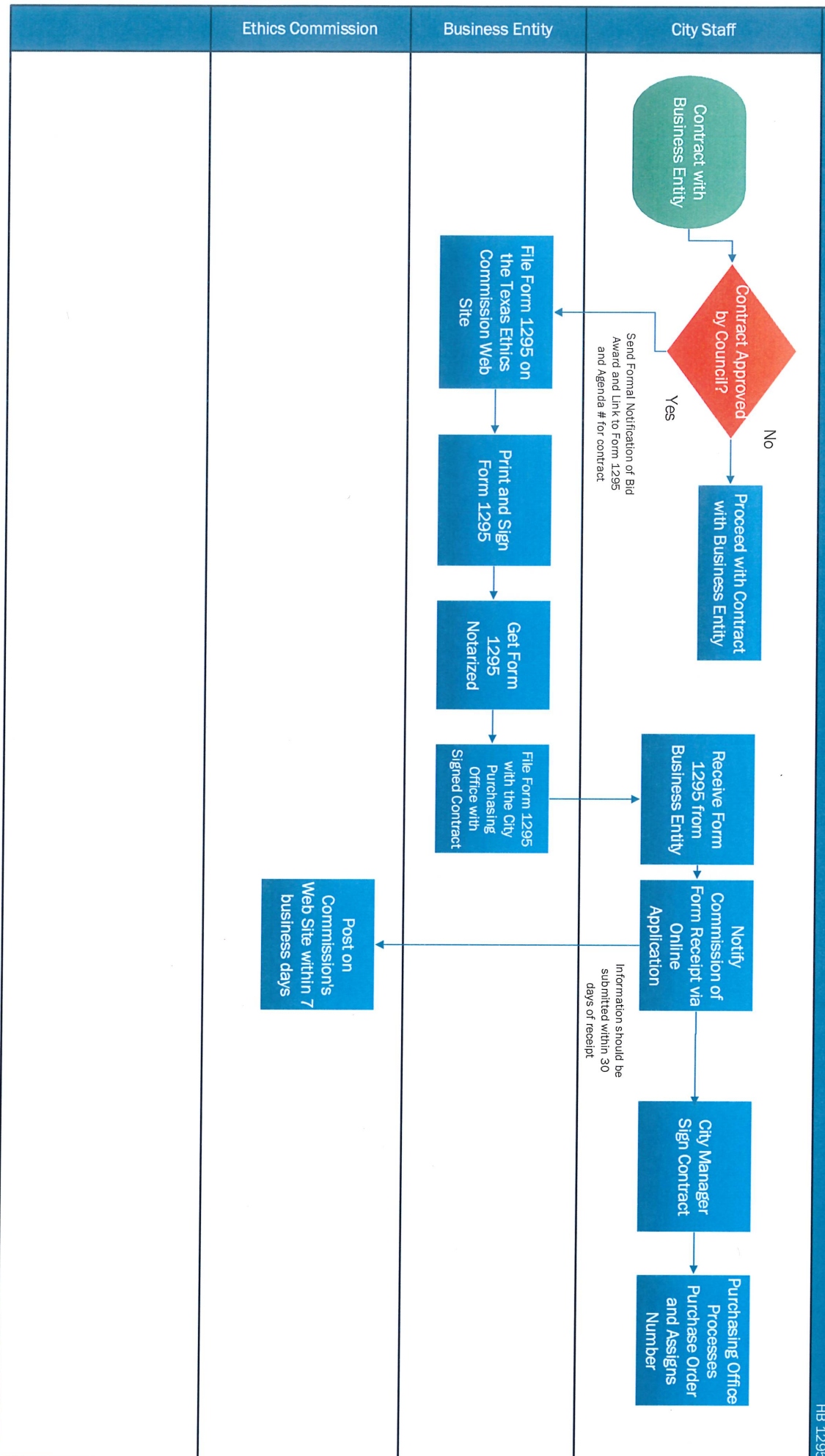
The Texas Legislature approved HB 1295 during its last Legislative session and the date for implementation of the new process was January 1, 2016.

To comply with this new mandate, the City must ask all business entities contracting with the City for items that are approved by Council to follow the new rules. Additional information about these new requirements can be accessed on the [Texas Ethics Commission website](#) and a flowchart and sample form are attached for your reference.

Please complete this form electronically on the Texas Ethics Commission web site at <https://www.ethics.state.tx.us/main/file.htm>. The completed Form 1295, Certification of Filing, must then be printed, notarized and returned to the City along with the signed contracts.

# Disclosure of Interested Parties

HB 1295



# 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 <b>one</b> of the following seven boxes:<br><input type="checkbox"/> Individual/sole proprietor or single-member LLC<br><input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▶ _____<br><b>Note.</b> 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.<br><input type="checkbox"/> Other (see instructions) ▶ _____ | 4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):<br>Exempt payee code (if any) _____<br>Exemption from FATCA reporting code (if any) _____<br><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         |  |  |  |   |  |  |  |  |  |
|                                |  |  |  | - |  |  |  |  |  |
| or                             |  |  |  |   |  |  |  |  |  |
| Employer identification number |  |  |  |   |  |  |  |  |  |
|                                |  |  |  | - |  |  |  |  |  |

## Part II Certification

Under penalties of perjury, I certify that:

1. 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
2. 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
3. I am a U.S. citizen or other U.S. person (defined below); and
4. 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 ▶

## 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](http://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:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. 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
4. 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.