



LUMPKIN COUNTY WATER AND SEWERAGE AUTHORITY

INVITATION TO BID # 2021-001

2021 FORD RANGER 4x4 TRUCK

SUBMISSIONS ARE DUE AT THE ADDRESS SHOWN BELOW NO LATER THAN

OCTOBER 20, 2021, 2:00 PM, EST

ELECTRONIC SUBMISSIONS VIA E-MAIL OR FAX WILL NOT BE ACCEPTED

SEAN PHIPPS, EXECUTIVE DIRECTOR
LUMPKIN COUNTY WATER AND SEWERAGE AUTHORITY
194 COURTHOUSE HILL, ANNEX A
DAHLONEGA, GEORGIA 30533

THE RESPONSIBILITY FOR SUBMITTING A RESPONSE TO THIS ITB ON OR BEFORE THE STATED DATE AND TIME WILL BE SOLELY AND STRICTLY THE RESPONSIBILITY OF THE OFFEROR.

ISSUE DATE: OCTOBER 1, 2021

INVITATION TO BID

LUMPKIN COUNTY WATER AND SEWERAGE AUTHORITY IS REQUESTING SEALED BIDS FOR A 2021 FORD RANGER 4X4 TRUCK

SEALED BIDS WILL BE RECEIVED BY LUMPKIN COUNTY WATER AND SEWERAGE AUTHORITY, 194 COURTHOUSE HILL, ANNEX A, DAHLONEGA, GEORGIA 30533 UNTIL 2:00 PM, EST, ON WEDNESDAY, OCTOBER 20, 2021. LATE BIDS WILL NOT BE CONSIDERED NOR RETURNED.

THE BID DOCUMENTS AND SPECIFICATIONS ARE AVAILABLE FOR INSPECTION AT THE LUMPKIN COUNTY WATER AND SEWERAGE AUTHORITY, 194 COURTHOUSE HILL, ANNEX A, DAHLONEGA, GEORGIA 30533 AND AT [HTTP://LUMPKINCOUNTY.GOV/322/WATER-SEWERAGE-AUTHORITY](http://lumpkincounty.gov/322/water-sewerage-authority)

BIDS MAY NOT BE WITHDRAWN FOR SIXTY (60) DAYS AFTER THE TIME AND DATE SET FOR CLOSING, EXCEPT AS ALLOWED BY OCGA. LUMPKIN COUNTY WATER AND SEWERAGE AUTHORITY RESERVES THE RIGHT TO REJECT ANY AND ALL BIDS AND TO WAIVE ANY TECHNICALITIES.

1.0 INTRODUCTION

1.1 Purpose of Procurement

The Lumpkin County Water and Sewerage Authority is requesting sealed bids for the purchase of one (1) 2021 Ford Ranger 4x4 Truck including the cost of delivery/freight. Detailed specifications are available in section 2.0.

1.2 Schedule of Events

This Invitation to Bid shall be governed by the following schedule:

DATE	ACTIVITY
October 1, 2021	Release of Invitation to Bid
None	Pre-bid meeting
October 7, 2021, 2:00 PM	Deadline for written questions
October 8, 2021, 5:00 PM	Answers to written questions
October 20, 2021, 2:00 PM	Bids Due

1.3 Restrictions on Communications

From the issue date of this Invitation to Bid until a contractor is selected and the award is announced, Contractors are not allowed to communicate **for any reason** with any Authority staff or appointed officials except: 1) through the Executive Director named herein, 2) at the Pre-Bid Meeting, if applicable or 3) as provided by existing work agreement(s). The Authority reserves the right to reject the submittal of any bidder violating this provision.

1.4 Pre-Bid Meeting

A Pre-Bid meeting will not be held.

1.5 Questions & Addenda

All questions concerning this **bid must be submitted in writing** (email is preferred but fax and mail may be used) to the Executive Director no later than Thursday, October 7, 2021, at 2:00 pm, EST.

The Inquiries must be directed to: **Sean Phipps, Executive Director**
Lumpkin County Water and Sewerage Authority
194 Courthouse Hill, Annex A
Dahlonega, GA 30533
SEAN.PHIPPS@LUMPKINCOUNTY.GOV
Fax (706) 864-0116

No response to inquiries other than written will be binding upon the Authority. Lumpkin County Water and Sewerage Authority reserves the right to issue written addenda to any inquiries that alter the scope of the Invitation to Bid. Addenda shall be posted to the Authority website, <http://lumpkincounty.gov/322/Water-Sewerage-Authority> no later than Friday, October 8, 2021, at 5:00 PM, EST. A signed copy of any addenda shall accompany submitted bids. Bidders are advised to check the website for addenda before submitting their bids.

1.6 Contract Term

The contract between the Authority and the Contractor shall become effective upon signing and shall be completed no later than 120 calendar days from the day the Notice to Proceed or the purchase order for goods is issued. The Authority reserves the right to terminate contract at any time if successful bidder fails to meet requirements stated in this bid.

The contract shall terminate absolutely and without further obligation at such time as appropriated and otherwise unobligated funds are no longer available to satisfy the obligations of the Authority under this contract.

1.7 Bonds

Bid Bonds	Not required
Performance and Payment Bonds	Not required

Information regarding bonds to be furnished is stated in the General Terms section of this Bid document, Item 3.8 “Bid/Proposal Bonds, Payment Bonds and Performance Bonds”.

1.8 Submission of Bids

One (1) original of the complete signed submittal must be received no later than **Wednesday, October 20, 2021 AT 2:00PM, EST**. Bids must be submitted in a sealed envelope stating on the outside, the vendor’s name, address and **“ITB # 2021-001 FORD RANGER 4X4 TRUCK”** to:

**Sean Phipps, Executive Director
Lumpkin County Water and Sewerage Authority
197 Courthouse Hill, Annex A
Dahlonega GA 30533**

Bid responses submitted by fax or electronic mail (email) will **NOT** be accepted.

Bidders are advised to allow adequate time for shipping. **Many express mail and delivery services do not guarantee overnight delivery by noon to Lumpkin County.** Any bid received after 2:00 pm on October 20, 2021, will not be opened.

1.9 Withdrawal of Bid Due to Errors

Bidders shall have up to forty-eight (48) hours to notify the Lumpkin County Water and Sewerage Authority, in writing, of an obvious clerical error made in the calculation of bid in order to withdraw a bid after bid opening. Bids may be withdrawn from consideration if the price was substantially lower than the other bids due solely to a mistake. The bidder shall provide evidence that the bid was submitted in good faith, and that the mistake was a clerical mistake as opposed to a judgment mistake. The bidder’s original work papers shall be the sole acceptable evidence of error or mistake. If a bid is withdrawn under this provision, the lowest remaining responsive bid shall be deemed low bid.

No bidder who is permitted to withdraw a bid shall for compensation, supply any material or labor, perform any subcontract or other work agreement for the person, or firm to whom the contract is awarded.

Bid withdrawal is not automatically granted and will be allowed solely at the Authority’s discretion.

1.10 Award

Any purchase order / contract awarded pursuant to this Invitation to Bid shall be awarded to the lowest responsive and responsible bidder whose bid response meets the requirements and specifications set forth in this Invitation to Bid. A “responsive bidder” is a bidder who has submitted a bid response, which conforms in all material respects to the bid. A “responsible bidder” is a bidder who has the capacity in all respects to perform fully the contract requirements and the integrity and reliability which will assure good faith performance.

2.0 SPECIFICATIONS

The Lumpkin County Water and Sewerage Authority is requesting sealed bids for the purchase of one (1) 2021 Ford Ranger XL SuperCab 4x4 including the cost of delivery/freight.

Year	2021
Manufacturer	Ford
Model	Ranger
Series	XL SuperCab 6' Box, 4x4
Engine	2.3 L ECOBOOST
Transmission	10-Speed Automatic
Equipment Group	101A - XL Series
Interior	Ebony Interior with Cloth Seats
Exterior	Oxford White
Wheels	16" Silver Steel Wheels
Options	Tough Bed Spray-in SecuriCode Keyless Entry Keypad
Accessories	Black Aluminum Crossbed Toolbox

3.0 TERMS AND CONDITIONS

3.1 Bid Amendments

The Authority reserves the right to amend this Bid prior to the bid due date. All addenda and additional information will be posted to the Authority website no later than 5:00 PM on October 8, 2021. It is the Bidder’s responsibility to check the website for addenda before submitting a Bid. A signed copy of all issued addenda is to be included with the Original Bid.

3.2 Bid Withdrawal

A submitted bid may be withdrawn prior to the due date by a signed written request to the Executive Director.

3.3 Cost for Preparing Bids

The cost for developing the bid is the sole responsibility of the Bidder. The County will not provide reimbursement for such costs.

3.4 Conflict of Interest

If a Bidder has any existing client relationship that involves the Lumpkin County Water and Sewerage Authority, the Bidder must disclose each relationship.

3.5 Contractor Selection

Lumpkin County Water and Sewerage Authority reserves the exclusive right to determine which Bidder should be awarded the Contract. The Authority also reserves the right to reject any or all bids at its discretion with or without cause.

3.6 Negotiations with Apparent Winner

Prior to award, the apparent winning Bidder will be required to enter into discussions with the Authority to resolve any contractual differences. These discussions are to be finalized within one (1) week of notification unless extending the time period is advantageous to the Authority. Failure to resolve differences will lead to rejection of the Contractor's bid.

The Authority reserves the right to negotiate modifications and costs with the successful Bidder provided that no such modifications affect the evaluation criteria set forth herein.

The Contractor shall commence work only after the transmittal of a fully executed contract and Notice to Proceed from the Authority.

3.7 Taxes

Lumpkin County Water and Sewerage Authority is exempt from taxes; however, the Contractor shall pay all taxes required of him by law. Lumpkin County Water and Sewerage Authority cannot exempt others from tax.

3.8 Bid/Proposal Bonds, Payment Bonds, Performance Bonds (if required)

Not Required

3.9 Compliance with Laws

The Contractor will comply with all State and Federal laws, rules, and regulations.

3.10 Cancellation

Lumpkin County Water and Sewerage Authority reserves the right to terminate the contract immediately in the event that the Contractor discontinues or abandons operations; is adjudged bankrupt, or is reorganized under any bankruptcy law; or fails to keep in force any required insurance policies or bonds.

Failure of the successful contractor to comply with any section or part of the contract will be considered grounds for immediate termination of the contract by the Authority without penalty to the Authority. Lumpkin County Water and Sewerage Authority shall pay for services rendered up to the point of termination.

Notwithstanding anything to the contrary contained in the contract between the Authority and the successful contractor, the Authority may, without prejudice to any other rights it may have, terminate the contract for convenience and without cause, by giving thirty (30) days written notice to the successful contractor.

If the termination clause is used by the Authority, the successful contractor will be paid by the Authority for all scheduled work completed satisfactorily by the successful contractor up to the termination date set forth in the written termination notice.

3.11 Condition of Materials

It is understood and agreed that materials delivered shall be new, of latest design, and in first quality condition and must meet all Georgia Department of Transportation specifications.

3.12 Rejection of Submissions/Cancellation of Bids

Lumpkin County Water and Sewerage Authority reserves the right to reject any or all bids, to waive any irregularity or informality in a bid, and to accept or reject any item or combination of items, when to do so would be to the advantage of the Authority. It is also within the rights of the Authority to reject bids that do not contain all elements and information requested in this document. The Authority reserves the right to cancel this Invitation to Bid at any time. The Authority will not be liable for any cost/losses incurred by the Contractors throughout this process.

3.13 Non-discrimination

Lumpkin County Water and Sewerage Authority does not discriminate on the basis of race, religion, color, sex, national origin, age, or disability.

3.14 Payment

Contractor shall itemize all invoices in full. The original of the invoice shall be mailed to:

Lumpkin County Water and Sewerage Authority
Attn: Accounts Payable
194 Courthouse Hill, Annex A
Dahlonega, GA 30533

Each invoice must include the following information:

1. Date of Invoice
2. Service Performed
3. Billing Period
4. Terms
5. All billable items must be itemized
6. Appropriate Unit of Measure

Contractor must furnish documentation identifying that this work has been completed in accordance with specifications, quantities, and price as set forth in the contract.

Approved invoices will be paid within 30 days of approval.

Invoices missing any of the information listed above will not be accepted for payment but will be returned to the Contractor for correction.

3.15 Insurance

Not Applicable

3.16 Project Coordination

Not Applicable.

3.17 Accuracy of Work

The Contractor shall be responsible for the accuracy of the work performed and shall promptly correct its errors and omissions without additional compensation. Acceptance of the work by the Authority will not relieve the Contractor of the responsibility for subsequent correction of errors, the clarification of any ambiguities, or the costs associated with any additional work caused by negligent acts, errors, or omissions by the Contractor or latent defects in the products sold by the Contractor.

At any time during the execution of this project or during any phase of work performed by others based on data secured by the Contractor under this Agreement, the Contractor shall confer with the Authority for the purpose of interpreting the information supplied by the Contractor and to correct any errors or omissions. The above consultations, clarifications, and/or corrections shall be made without added compensation to the Contractor. The Contractor shall give immediate attention to these changes so there will be minimum delay to others. The Contractor shall be responsible for errors and omissions and save harmless the Authority and its agents as provided in this Agreement.

3.18 Ownership

Not Applicable

3.19 News Releases by Contractor

As a matter of policy, the Authority does not endorse the products or services of a Contractor. News releases concerning any resultant contract from this solicitation shall not be made by a Contractor without the prior written approval of the Authority. All proposed news releases shall be routed to the Lumpkin County Water and Sewerage Authority Executive Director for review and approval.

3.20 Severability/Cancellation

It is understood and agreed by the parties hereto that if any part, term, or provision of this Contract is held illegal or in conflict with any law of the State, 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 Contract did not contain the particular part, term, or provisions held to be invalid.

The Authority and the Contractor agree to resolve through negotiation or mediation prior to filing any cause of action. The venue for any litigation arising from this contract shall be Lumpkin County, Georgia.

3.21 Drug Free Workplace

By submission of a Bid, the Contractor certifies that the provisions of Code Sections 50-24-1 through 50-24-6 of the Official Code of Georgia Annotated, relating to the "Drug-free Workplace Act", have been complied with in full. The Contractor further certifies that:

1. A drug-free workplace will be provided for the Contractor's employees during performance of the contract; and
2. Each Contractor who hires a sub-Contractor to work in a drug-free work place shall secure from that sub-Contractor the following written certification:
3. As part of the subcontracting agreement with (Contractor's name), (Sub Contractor's name) certifies to the Contractor that a drug-free workplace will be provided for the Sub Contractor's employees during the performance of this Contract pursuant to Paragraph (7) of Sub-section (b) of Code Section 50-24-3.
4. The Contractor further certifies that he will not engage in the unlawful manufacture, sale, distribution, dispensation, possession, or use of a controlled substance or marijuana during the performance of the Contract.

3.22 Assignment of Contractual Rights

It is agreed that the Contractor will not assign, transfer, convey, or otherwise dispose of a contract that may result from this bid or his right, title, or interest in or to the same, or any part thereof, without written consent of the Authority.

3.23 Indemnity

To the fullest extent permitted by law, the Contractor will indemnify, defend, and hold Lumpkin County Water and Sewerage Authority harmless from and against any and all claims, damages, losses, and expenses, including, but not limited to, fees and charges of attorneys and court and arbitration costs, arising out of or resulting from the negligent acts, negligent omissions, willful misconduct, or reckless misconduct of the Contractor or anyone for whom the Contractor is responsible.

3.24 Non-Collusive Bidding

By submitting a response to this Invitation to Bid, the Bidder represents and warrants that such bid is genuine and not a sham or collusive or made in the interest or on behalf of any person not therein named and that the Bidder has not directly or indirectly induced or solicited any other vendor to put in a sham bid, or any other person or company to refrain from submitting and that the Bidder has not in any manner sought by collusion to secure to that vendor any advantage over any other vendor.

3.25 Georgia Security and Immigration Compliance

To comply with the State of Georgia's Security and Immigration Compliance Act, all contractors must comply with regulations by completing the provided affidavits relative to the Compliance Act. All applicable affidavits have been included with this Invitation to Bid and must be signed and provided with the Bid submission.

3.26 Appropriation of Funds

The initial contract and any continuation contract(s) shall terminate immediately and absolutely at any such time as there are no appropriated and otherwise unencumbered funds available to satisfy the Authority's obligations under said contract(s).

3.27 Documents Deemed Part of Contract

Unless otherwise modified by the Contract, Lumpkin County Water and Sewerage Authority's Invitation to Bid issued October 1, 2021, and any addendums issued thereto, and the Project Manual containing Specifications and Special Provisions shall be deemed part of the contract. No documentation or information provided by the Contractor shall be deemed part of the contract unless expressly incorporated.



VENDOR'S CHECKLIST AND BID SUBMITTAL PACKET

COMPANY NAME: _____

PLEASE INDICATE YOU HAVE COMPLETED THE FOLLOWING DOCUMENTATION AND SUBMIT THEM IN THE FOLLOWING ORDER:

- VENDOR INFORMATION
- EXECUTION OF PROPOSAL
- PRICE PROPOSAL
- AFFIDAVIT OF NON-COLLUSION
- DRUG-FREE WORKPLACE
- ADDENDA ACKNOWLEDGEMENT
- GEORGIA'S SECURITY AND IMMIGRATION COMPLIANCE ACT AFFIDAVIT
- W-9

AUTHORIZED SIGNATURE

TITLE

PRINT NAME

DATE

THIS PAGE MUST BE COMPLETED AND SUBMITTED WITH BID



VENDOR'S INFORMATION FORM

LEGAL BUSINESS NAME _____

STREET ADDRESS _____

CITY, STATE & ZIP _____

TYPE OF BUSINESS: STATE OF REGISTRATION: _____
(ASSOCIATION, CORPORATION, PARTNERSHIP, LIMITED LIABILITY COMPANY, ETC.)

NAME & TITLE OF AUTHORIZED SIGNER: _____

PRIMARY CONTACT _____

PHONE FAX _____

E-MAIL _____

COMPANY WEBSITE _____

HAS YOUR COMPANY EVER BEEN DEBARRED FROM DOING BUSINESS WITH ANY FEDERAL, STATE,
OR LOCAL AGENCY? YES_NO ___

IF YES, PLEASE STATE THE AGENCY NAME, DATES, AND REASON FOR DEBARMENT.

THIS PAGE MUST BE COMPLETED AND SUBMITTED WITH BID



DATE: _____

THE POTENTIAL CONTRACTOR CERTIFIES THE FOLLOWING BY PLACING AN "X" IN ALL BLANKSPACES:

___ THAT THIS BID WAS SIGNED BY AN AUTHORIZED REPRESENTATIVE OF THIS FIRM.

___ THAT THE POTENTIAL CONTRACTOR HAS DETERMINED THE COST AND AVAILABILITY OF ALL MATERIALS AND SUPPLIES ASSOCIATED WITH PERFORMING THE SERVICES OUTLINED HEREIN.

___ THAT ALL LABOR COSTS ASSOCIATED WITH THIS PROJECT HAVE BEEN DETERMINED, INCLUDING ALL DIRECT AND INDIRECT COSTS.

___ THAT THE POTENTIAL CONTRACTOR AGREES TO THE CONDITIONS AS SET FORTH IN THIS INVITATION TO BID WITH NO EXCEPTIONS.

THEREFORE, IN COMPLIANCE WITH THE FOREGOING **BID**, AND SUBJECT TO ALL TERMS AND CONDITIONS THEREOF, THE UNDERSIGNED OFFERS AND AGREES, IF THIS BID IS ACCEPTED WITHIN SIXTY (60) DAYS FROM THE DATE OF THE OPENING, TO FURNISH THE SERVICES FOR THE PRICES QUOTED WITHIN THE TIMEFRAME REQUIRED.

BUSINESS NAME

AUTHORIZED SIGNATURE

DATE

TYPED NAME & TITLE

THIS PAGE MUST BE COMPLETED AND SUBMITTED AS A PART OF YOUR BID



VENDOR'S PRICE PROPOSAL

I HAVE READ AND UNDERSTAND THE REQUIREMENT OF THIS ITB # 2021-001 FORD RANGER 4X4 TRUCK AND AGREE TO PROVIDE REQUIRED SERVICES IN ACCORDANCE WITH THIS PROPOSAL AND ALL OTHER ATTACHMENTS, EXHIBITS, ETC. I UNDERSTAND THAT THE LUMPKIN COUNTY WATER AND SEWERAGE AUTHORITY WILL NOT BE RESPONSIBLE FOR THE REIMBURSEMENT OF ANY COSTS NOT SPECIFICALLY SET FORTH IN THIS PROPOSAL.

LUMP SUM PRICE \$ _____

I HEREBY CERTIFY THAT THIS FINANCIAL PROPOSAL IS MADE WITHOUT PRIOR UNDERSTANDING, AGREEMENT OR CONNECTION WITH ANY CORPORATION, FIRM, OR PERSON SUBMITTING A PROPOSAL FOR THE SAME SERVICES AND IS IN ALL RESPECTS FAIR AND WITHOUT COLLUSION OR FRAUD. I CERTIFY THAT I AM AUTHORIZED TO SIGN THE FINANCIAL PROPOSAL.

COMPANY NAME

DATE

PRINTED NAME

AUTHORIZED SIGNATURE

Sworn to and subscribed before me this _____ day of _____, 202__.

Notary Public

Commission Expires

THIS PAGE MUST BE COMPLETED AND SUBMITTED AS A PART OF YOUR BID



VENDOR'S AFFIDAVIT OF NON-COLLUSION

I, _____, CERTIFY THAT THIS PROPOSAL IS MADE WITHOUT PRIOR UNDERSTANDING, AGREEMENT, OR CONNECTION WITH ANY CORPORATION, FIRM, OR PERSON SUBMITTING A BID/PROPOSAL FOR THE SAME SERVICES AND IS IN ALL RESPECTS FAIR AND WITHOUT COLLUSION OR FRAUD. I UNDERSTAND THAT COLLUSIVE BIDDING IS A VIOLATION OF STATE AND FEDERAL LAW AND CAN RESULT IN FINES, PRISON SENTENCES, AND CIVIL DAMAGES AWARDS.

I CERTIFY THAT I DID NOT PREVENT OR ATTEMPT TO PREVENT COMPETITION IN BIDDING OR PROPOSALS BY ANY MEANS WHATSOEVER. I DID NOT PREVENT OR ENDEAVOR TO PREVENT ANYONE FROM MAKING A BID OR PROPOSAL BY ANY MEANS WHATEVER. I DID NOT, NOR WILL I, CAUSE OR INDUCE ANOTHER TO WITHDRAW A BID OR PROPOSAL FOR THE WORK.

I HAVE NOT DIRECTLY OR INDIRECTLY VIOLATED SUBSECTION (D) OF O.C.G.A § 36-91-21, NOR HAS ANY OFFICER, REPRESENTATIVE, AGENT OR OTHER PERSON ACTING ON BEHALF OF MY COMPANY.

IF THIS OATH IS FALSE, THE CONTRACT SHALL BE VOID, AND ALL SUMS PAID BY LUMPKIN COUNTY ON THE CONTRACT MAY BE RECOVERED BY APPROPRIATE ACTION.

COMPANY NAME: _____

AUTHORIZED REPRESENTATIVE (SIGNATURE) DATE

AUTHORIZED REPRESENTATIVE/TITLE

(PRINT OR TYPE)

THIS AFFIDAVIT IS GIVEN THIS _____ DAY OF _____, 202__.

SWORN TO AND SUBSCRIBED BEFORE ME THIS _____ DAY OF _____, 202__.

NOTARY PUBLIC

COMMISSION EXPIRES

THIS PAGE MUST BE COMPLETED AND SUBMITTED AS A PART OF YOUR BID



DRUG- FREE WORKPLACE FORM

I HEREBY CERTIFY THAT I AM A PRINCIPLE AND DULY AUTHORIZED REPRESENTATIVE OF: _____

WHOSE ADDRESS IS: _____

AND IT IS ALSO THAT: _____

1. THE PROVISIONS OF SECTION § 50.24.1 THROUGH § 50.24.6 OF THE OFFICIAL CODE OF GEORGIA ANNOTATED, RELATING TO THE "DRUG FREE WORKPLACE ACT" HAVE BEEN COMPLIED WITH IN FULL; AND,
2. A DRUG FREE WORKPLACE WILL BE PROVIDED FOR THE CONTRACTOR'S EMPLOYEES DURING THE PERFORMANCE OF THE CONTRACT; AND,
3. EACH SUBCONTRACTOR HIRED BY THE CONTRACTOR SHALL BE REQUIRED TO ENSURE THAT THE SUBCONTRACTOR'S EMPLOYEES ARE PROVIDED A DRUG FREE WORKPLACE. THE CONTRACTOR SHALL SECURE FROM THAT SUBCONTRACTOR THE FOLLOWING WRITTEN CERTIFICATION: "AS PART OF THE SUBCONTRACTING AGREEMENT WITH

NAME OF SUB CONTRACTOR

CERTIFIES TO THE CONTRACTOR THAT A DRUG FREE WORKPLACE WILL BE PROVIDED FOR THE SUBCONTRACTOR'S EMPLOYEES DURING THE PERFORMANCE OF THIS CONTRACT PURSUANT TO PARAGRAPH (7) OF SUBSECTION (B) OF THE OFFICIAL CODE OF GEORGIA ANNOTATED SECTION § 50.24.3"; AND,

4. IT IS CERTIFIED THAT THE UNDERSIGNED WILL NOT ENGAGE IN UNLAWFUL MANUFACTURE, SALE, DISTRIBUTION, DISPENSATION, POSSESSION, OR USE OF A CONTROLLED SUBSTANCE OR MARIJUANA DURING THE PERFORMANCE OF THE CONTRACT.

SIGNATURE _____ DATE _____

THIS PAGE MUST BE COMPLETED AND SUBMITTED AS A PART OF YOUR BID



ADDENDA ACKNOWLEDGEMENT

ADDENDUM No. _____

ADDENDUM No. _____

ADDENDUM No. _____

ADDENDUM No. _____

AUTHORIZED REPRESENTATIVE (SIGNATURE)

DATE

AUTHORIZED REPRESENTATIVE/TITLE (PRINT OR TYPE)

VENDORS MUST ACKNOWLEDGE ANY ISSUED ADDENDA. BIDS WHICH FAIL TO ACKNOWLEDGE THE VENDOR'S RECEIPT OF ANY ADDENDUM WILL RESULT IN THE REJECTION OF THE OFFER IF THE ADDENDUM CONTAINED INFORMATION WHICH SUBSTANTIVELY CHANGES THE OWNER'S REQUIREMENTS.

THIS PAGE MUST BE COMPLETED AND SUBMITTED AS A PART OF YOUR BID



GEORGIA SECURITY & IMMIGRATION COMPLIANCE (GSIC) ACT AFFIDAVIT

AS PER THE GEORGIA SENATE BILL 529 AND SENATE BILL 447, THE GEORGIA DEPARTMENT OF LABOR HAS PROMULGATED NEW RULES FOR THE IMPLEMENTATION OF SECTION 2. O.C.G.A. §13-10-91 AND CHAPTER 300-10-01-.02 STATE THAT NO GEORGIA PUBLIC EMPLOYER SHALL ENTER INTO A CONTRACT FOR *THE PHYSICAL PERFORMANCE OF SERVICES WITHIN THE STATE OF GEORGIA* UNLESS THE CONTRACTOR REGISTERS AND PARTICIPATES IN A FEDERAL WORK AUTHORIZATION PROGRAM TO VERIFY THE WORK ELIGIBILITY INFORMATION OF ALL OF ITS NEW EMPLOYEES.

THE EMPLOYMENT ELIGIBILITY VERIFICATION “E-VERIFY” SITE OPERATED BY THE U.S. CITIZENSHIP AND IMMIGRATION SERVICES BUREAU OF THE U.S. DEPARTMENT OF HOMELAND SECURITY IS THE ELECTRONIC FEDERAL WORK AUTHORIZATION PROGRAM TO BE UTILIZED FOR THESE PURPOSES.

THE WEBSITE IS [HTTPS://E-VERIFY.USCIS.GOV/ENROLL/](https://e-verify.uscis.gov/enroll/)

BY EXECUTING THE ATTACHED CONTRACTOR AFFIDAVIT, CONTRACTOR VERIFIES ITS COMPLIANCE WITH O.C.G.A. §13-10-91 STATING AFFIRMATIVELY THAT THE INDIVIDUAL, FIRM, OR CORPORATION WHICH IS CONTRACTING WITH THE LUMPKIN COUNTY WATER AND SEWERAGE AUTHORITY HAS REGISTERED AND IS PARTICIPATING IN THIS FEDERAL WORK AUTHORIZATION PROGRAM IN ACCORDANCE WITH THE APPLICABILITY PROVISIONS AND DEADLINES ESTABLISHED IN THIS STATUTE.

CONTRACTOR FURTHER AGREES THAT SHOULD IT EMPLOY OR CONTRACT WITH ANY SUB-CONTRACTOR(S) FOR THE PHYSICAL PERFORMANCE OF SERVICES PURSUANT TO THE CONTRACT WITH THE LUMPKIN COUNTY WATER AND SEWERAGE AUTHORITY, CONTRACTOR WILL SECURE FROM THE SUB-CONTRACTOR(S) VERIFICATION OF COMPLIANCE WITH O.C.G.A. §13-10-91 ON A SUB-CONTRACTOR AFFIDAVIT AND SHALL PROVIDE A COPY OF EACH SUCH VERIFICATION TO THE LUMPKIN COUNTY WATER AND SEWERAGE AUTHORITY AT THE TIME THE SUB-CONTRACTOR(S) IS RETAINED TO PERFORM SUCH SERVICES.

PLEASE COMPLETE THE ATTACHED AFFIDAVIT AND RETURN IT TO:

SEAN PHIPPS, EXECUTIVE DIRECTOR
LUMPKIN COUNTY WATER AND SEWERAGE AUTHORITY
194 COURTHOUSE HILL, ANNEX A
DAHLONEGA, GA 30533
FAX: (706) 482-2201
EMAIL: SEAN.PHIPPS@LUMPKINCOUNTY.GOV

THIS PAGE MUST BE COMPLETED AND SUBMITTED AS A PART OF YOUR BID



LUMPKIN COUNTY BOARD OF COMMISSIONERS
SAVE AFFIDAVIT

(SYSTEMATIC ALIEN VERIFICATION FOR ENTITLEMENTS)

AFFIDAVIT FOR A PUBLIC BENEFIT AS REQUIRED BY THE GEORGIA IMMIGRATION REFORM AND ENFORCEMENT ACT OF 2011

BY EXECUTING THIS AFFIDAVIT UNDER OATH, AS AN APPLICANT FOR A PUBLIC BENEFIT AS REFERENCED IN THE GEORGIA ILLEGAL IMMIGRATION REFORM AND ENFORCEMENT ACT OF 2011 [O.C.G.A. § 50-36-1(E) (2)], I AM STATING THE FOLLOWING:

_____ I AM A LEGAL PERMANENT RESIDENT OF THE UNITED STATES*; OR

_____ I AM AN OTHERWISE QUALIFIED ALIEN OR NON-IMMIGRANT UNDER THE FEDERAL IMMIGRATION AND NATIONALITY ACT 18 YEARS OF AGE OR OLDER AND LAWFULLY PRESENT IN THE UNITED STATES.*

*ALIEN REGISTRATION NUMBER FOR NON-CITIZENS ISSUED BY THE DEPARTMENT OF HOMELAND SECURITY OR OTHER FEDERAL IMMIGRATION AGENCY IS: _____

AT LEAST ONE SECURE AND VERIFIABLE DOCUMENT FOR IDENTIFICATION PURPOSES MUST BE PROVIDED AS REQUIRED BY O.C.G.A. § 50-36-1 (E) (1). SEE LIST ON PAGE 2 OF THIS DOCUMENT.

***** IN MAKING THE ABOVE REPRESENTATION UNDER OATH, I UNDERSTAND THAT ANY PERSON WHO KNOWINGLY AND WILLFULLY MAKES A FALSE, FICTITIOUS, OR FRAUDULENT STATEMENT OR REPRESENTATION IN AN AFFIDAVIT SHALL BE GUILTY OF A VIOLATION OF CODE SECTION 16-10-20 OF THE OFFICIAL CODE OF GEORGIA AND FACE CRIMINAL PENALTIES AS ALLOWED BY SUCH CRIMINAL STATUTE.

APPLYING ON BEHALF/NAME OF ASSOCIATED BUSINESS

SIGNATURE OF APPLICANT

DATE

PRINTED NAME

SUBSCRIBED AND SWORN BEFORE ME ON THIS THE
_____ DAY OF _____ 20____

MY COMMISSION EXPIRES: _____

NOTARY PUBLIC

[NOTARY SEAL]

*NOTE: O.C.G.A. 50-36-1(E) (2) REQUIRES THAT ALIENS UNDER THE FEDERAL IMMIGRATION AND NATIONALITY ACT, TITLE 8 U.S.C., AS AMENDED, PROVIDES THEIR ALIEN REGISTRATION NUMBER. BECAUSE LEGAL PERMANENT RESIDENTS ARE INCLUDED IN THE FEDERAL DEFINITION OF "ALIEN," LEGAL PERMANENT RESIDENTS MUST ALSO PROVIDE THEIR LIEN REGISTRATION NUMBER.

[PAGE 1 OF 2]



SECURE AND VERIFIABLE DOCUMENTS UNDER O.C.G.A. §50-36-2

[ISSUED AUGUST 1, 2011 BY THE OFFICE OF THE ATTORNEY GENERAL, GEORGIA]

THE FOLLOWING LIST OF SECURE AND VERIFIABLE DOCUMENTS, PUBLISHED UNDER THE AUTHORITY OF O.C.G.A. §50-36-2, CONTAINS DOCUMENTS THAT ARE VERIFIABLE FOR IDENTIFICATION PURPOSES, AND DOCUMENTS ON THIS LIST MAY NOT NECESSARILY BE INDICATIVE OF RESIDENCY OR IMMIGRATION STATUS.

INDICATE AND ATTACH A COPY OF THE DOCUMENT

(FRONT AND BACK)

- UNITED STATES PASSPORT OR PASSPORT CARD
- UNITED STATES MILITARY IDENTIFICATION CARD
- MERCHANT MARINER DOCUMENT OR MERCHANT MARINER CREDENTIAL ISSUED BY THE UNITED STATES COAST GUARD

- DRIVER'S LICENSE ISSUED BY ONE OF THE UNITED STATES, THE DISTRICT OF COLUMBIA, THE COMMONWEALTH OF THE NORTHERN MARIANAS ISLANDS, THE UNITED STATES VIRGIN ISLAND, AMERICAN SAMOA, OR THE SWAIN ISLANDS, PROVIDED THAT IT CONTAINS A PHOTOGRAPH OF THE BEARER OR LISTS SUFFICIENT IDENTIFYING INFORMATION REGARDING THE BEARER, SUCH AS NAME, DATE OF BIRTH GENDER, HEIGHT, EYE COLOR, AND ADDRESS TO ENABLE THE IDENTIFICATION OF THE BEARER.
- IDENTIFICATION CARD ISSUED BY ONE OF THE UNITED STATES, THE DISTRICT OF COLUMBIA, THE COMMONWEALTH OF PUERTO RICO, GUAM, THE COMMONWEALTH OF THE NORTHERN MARIANAS ISLANDS, THE UNITED STATES VIRGIN ISLAND, AMERICAN SAMOA, OR THE SWAIN ISLANDS, PROVIDED THAT IT CONTAINS A PHOTOGRAPH OF THE BEARER OR LISTS SUFFICIENT IDENTIFYING INFORMATION REGARDING THE BEARER, SUCH AS NAME, DATE OF BIRTH GENDER, HEIGHT, EYE COLOR, AND ADDRESS TO ENABLE THE IDENTIFICATION OF THE BEARER.
- TRIBAL IDENTIFICATION CARD ISSUED BY ONE OF THE UNITED STATES, THE DISTRICT OF COLUMBIA, THE COMMONWEALTH OF PUERTO RICO, GUAM, THE COMMONWEALTH OF THE NORTHERN MARIANAS ISLANDS, THE UNITED STATES VIRGIN ISLAND, AMERICAN SAMOA, OR THE SWAIN ISLANDS, PROVIDED THAT IT CONTAINS A PHOTOGRAPH OF THE BEARER OR LISTS SUFFICIENT IDENTIFYING INFORMATION REGARDING THE BEARER, SUCH AS NAME, DATE OF BIRTH GENDER, HEIGHT, EYE COLOR, AND ADDRESS TO ENABLE THE IDENTIFICATION OF THE BEARER.
- PASSPORT ISSUED BY A FOREIGN GOVERNMENT
- FREE AND SECURE TRADE (FAST) CARD
- NEXUS CARD
- UNITED STATES PERMANENT RESIDENT CARD OR ALIEN REGISTRATION RECEIPT CARD
- EMPLOYMENT AUTHORIZATION DOCUMENT THAT CONTAINS A PHOTOGRAPH OF THE BEARER.
- CERTIFICATE OF CITIZENSHIP ISSUED BY THE UNITED STATES DEPARTMENT OF CITIZENSHIP AND IMMIGRATION SERVICES (USCIS) [FORM N-560 OR FORM N-561]
- CERTIFICATE OF NATURALIZATION ISSUED BY THE UNITED STATES DEPARTMENT OF CITIZENSHIP AND IMMIGRATION SERVICES (USCIS) [FORM N-550 OR FORM N-570]

[PAGE 2 OF 2]



E-VERIFY AFFIDAVIT
GEORGIA SECURITY & IMMIGRATION COMPLIANCE (GSIC) ACT
(CONTRACTOR)E-VERIFY AFFIDAVIT AND AGREEMENT

THE LUMPKIN COUNTY WATER AND SEWERAGE AUTHORITY AND CONTRACTOR AGREE THAT COMPLIANCE WITH THE REQUIREMENTS OF O.C.G.A. §13-10-91 AND RULE 300- 10-1-.02 OF THE RULES OF THE GEORGIA DEPARTMENT OF LABOR ARE CONDITIONS OF THIS AGREEMENT FOR THE PHYSICAL PERFORMANCE OF SERVICES.

BY EXECUTING THIS AFFIDAVIT, THE UNDERSIGNED CONTRACTOR VERIFIES ITS COMPLIANCE WITH O.C.G.A. §13-10-91, *STATING AFFIRMATIVELY THAT THE INDIVIDUAL, FIRM, OR CORPORATION WHICH IS CONTRACTING WITH THE LUMPKIN COUNTY WATER AND SEWERAGE AUTHORITY HAS REGISTERED WITH AND IS PARTICIPATING THE FEDERAL WORK AUTHORIZATION PROGRAM KNOWN AS "E-VERIFY", WEB ADDRESS [HTTPS://E-VERIFY.USCIS.GOV/ENROLL/](https://e-verify.uscis.gov/enroll/) OPERATED BY THE UNITED STATES CITIZENSHIP AND IMMIGRATION SERVICES BUREAU OF THE UNITED STATES DEPARTMENT OF HOMELAND SECURITY TO VERIFY INFORMATION OF NEWLY HIRED EMPLOYEES, PURSUANT TO THE IMMIGRATION REFORM AND CONTROL ACT OF 1986 (IRCA), P.L. 99-603], IN ACCORDANCE WITH THE APPLICABILITY PROVISIONS AND DEADLINES ESTABLISHED IN O.C.G.A. §13-10-91.* THE UNDERSIGNED CONTRACTOR ALSO VERIFIES THAT HE/SHE/IT IS USING AND WILL CONTINUE TO USE THE FEDERAL WORK AUTHORIZATION PROGRAM THROUGHOUT THE CONTRACT PERIOD.

THE UNDERSIGNED CONTRACTOR AGREES THAT, SHOULD IT EMPLOY OR CONTRACT WITH ANY SUBCONTRACTOR(S) IN CONNECTION WITH THE PHYSICAL PERFORMANCE OF SERVICES PURSUANT TO THE CONTRACT WITH THE LUMPKIN COUNTY WATER AND SEWERAGE AUTHORITY, CONTRACTOR WILL SECURE FROM SUCH SUBCONTRACTOR(S) SIMILAR VERIFICATION OF COMPLIANCE WITH O.C.G.A. §13-10-91 ON THE SUBCONTRACTOR AFFIDAVIT PROVIDED IN RULE 300-10-01-.08 OR A SUBSTANTIALLY SIMILAR FORM. CONTRACTOR FURTHER AGREES THE CONTRACTOR WILL ADVISE THE LUMPKIN COUNTY WATER AND SEWERAGE AUTHORITY OF THE HIRING A NEW SUBCONTRACTOR AND WILL PROVIDE LUMPKIN COUNTY WATER AND SEWERAGE AUTHORITY WITH A SUBCONTRACTOR AFFIDAVIT ATTESTING TO THE SUBCONTRACTOR'S NAME, ADDRESS, USER IDENTIFICATION NUMBER, AND DATE OF AUTHORIZATION TO USE THE FEDERAL WORK AUTHORIZATION PROGRAM WITHIN FIVE (5) DAYS OF THE HIRING BEFORE THE SUBCONTRACTOR BEGINS WORKING ON THE PROJECT. CONTRACTOR ALSO AGREES TO MAINTAIN ALL RECORDS OF SUCH COMPLIANCE FOR INSPECTION BY LUMPKIN COUNTY WATER AND SEWERAGE AUTHORITY AT ANY TIME AND TO PROVIDE A COPY OF EACH SUCH VERIFICATION TO THE LUMPKIN COUNTY WATER AND SEWERAGE AUTHORITY AT THE TIME THE SUBCONTRACTOR(S) IS RETAINED TO PERFORM SUCH SERVICES.

E-VERIFY EMPLOYMENT ELIGIBILITY VERIFICATION USER IDENTIFICATION NUMBER

DATE OF AUTHORIZATION TO USE FEDERAL WORK AUTHORIZATION PROGRAM

NAME OF CONTRACTOR

TITLE OF AUTHORIZED OFFICER OR AGENT OF CONTRACTOR

SIGNATURE AND PRINTED NAME OF AUTHORIZED OFFICER OR AGENT

SUBSCRIBED AND SWORN BEFORE ME ON THIS THE _____ DAY OF _____, 20

NOTARY PUBLIC

MY COMMISSION EXPIRES: _____

* AS OF THE EFFECTIVE DATE OF O.C.G.A. §13-10-91, THE APPLICABLE FEDERAL WORK AUTHORIZATION PROGRAM IS THE "EEV / BASIC PILOT PROGRAM" OPERATED BY THE U. S. CITIZENSHIP AND IMMIGRATION SERVICES BUREAU OF THE U.S. DEPARTMENT OF HOMELAND SECURITY, IN CONJUNCTION WITH THE SOCIAL SECURITY ADMINISTRATION (SSA). AUTHORITY O.C.G.A. SEC. §13-10-91. HISTORY: ORIGINAL RULE ENTITLED "CONTRACTOR AFFIDAVIT AND AGREEMENT" ADOPTED. F. MAY 25, 2007; EFF. JUNE 18, 2007, AS SPECIFIED BY THE AGENCY.

THIS PAGE MUST BE COMPLETED AND SUBMITTED AS A PART OF YOUR BID



PRIVATE EMPLOYER EXEMPTION AFFIDAVIT PURSUANT TO O.C.G.A. § 36-60-6(D)

BY EXECUTING THIS AFFIDAVIT, THE UNDERSIGNED PRIVATE EMPLOYER VERIFIES THAT IT IS EXEMPT FROM COMPLIANCE WITH O.C.G.A. § 36-60-6, STATING AFFIRMATIVELY THAT THE INDIVIDUAL, FIRM OR CORPORATION EMPLOYS FEWER THAN ELEVEN EMPLOYEES AND THEREFORE, IS NOT REQUIRED TO REGISTER WITH AND/OR UTILIZE THE FEDERAL WORK AUTHORIZATION PROGRAM COMMONLY KNOWN AS E-VERIFY, OR ANY SUBSEQUENT REPLACEMENT PROGRAM, IN ACCORDANCE WITH THE APPLICABLE PROVISIONS AND DEADLINES ESTABLISHED IN O.C.G.A. § 13-10-90.

SIGNATURE OF EXEMPT PRIVATE EMPLOYER

PRINTED NAME OF EXEMPT PRIVATE EMPLOYER

I HEREBY DECLARE UNDER PENALTY OF PERJURY THAT THE FOREGOING IS TRUE AND CORRECT. EXECUTED ON

_____, 202_ IN _____ (CITY), _____ (STATE).

SIGNATURE OF AUTHORIZED OFFICER OR AGENT

PRINTED NAME AND TITLE OF AUTHORIZED OFFICER OR A G E N T

SUBSCRIBED AND SWORN BEFORE ME ON THIS THE _____ DAY OF _____, 202____.

NOTARY PUBLIC

MY COMMISSION EXPIRES: _____

THIS PAGE MUST BE COMPLETED AND SUBMITTED AS A PART OF YOUR BID

Note. If you are a U.S. person and a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

Definition of a U.S. person. For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien;
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States;
- An estate (other than a foreign estate); or
- A domestic trust (as defined in Regulations section 301.7701-7).

Special rules for partnerships. Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax under section 1446 on any foreign partners' share of effectively connected taxable income from such business. Further, in certain cases where a Form W-9 has not been received, the rules under section 1446 require a partnership to presume that a partner is a foreign person, and pay the section 1446 withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid section 1446 withholding on your share of partnership income.

In the cases below, the following person must give Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States:

- In the case of a disregarded entity with a U.S. owner, the U.S. owner of the disregarded entity and not the entity;
- In the case of a grantor trust with a U.S. grantor or other U.S. owner, generally, the U.S. grantor or other U.S. owner of the grantor trust and not the trust; and
- In the case of a U.S. trust (other than a grantor trust), the U.S. trust (other than a grantor trust) and not the beneficiaries of the trust.

Foreign person. If you are a foreign person or the U.S. branch of a foreign bank that has elected to be treated as a U.S. person, do not use Form W-9. Instead, use the appropriate Form W-8 or Form 8233 (see Publication 515, Withholding of Tax on Nonresident Aliens and Foreign Entities).

Nonresident alien who becomes a resident alien. Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a "saving clause." Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the payee has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement to Form W-9 that specifies the following five items:

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.
2. The treaty article addressing the income.
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.
4. The type and amount of income that qualifies for the exemption from tax.
5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

Example. Article 20 of the U.S.-China income tax treaty allows an exemption from tax for scholarship income received by a Chinese student temporarily present in the United States. Under U.S. law, this student will become a resident alien for tax purposes if his or her stay in the United States exceeds 5 calendar years. However, paragraph 2 of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first protocol) and is relying on this exception to claim an exemption from tax on his or her scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

If you are a nonresident alien or a foreign entity, give the requester the appropriate completed Form W-8 or Form 8233.

Backup Withholding

What is backup withholding? Persons making certain payments to you must under certain conditions withhold and pay to the IRS 28% of such payments. This is called "backup withholding." Payments that may be subject to backup withholding include interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, payments made in settlement of payment card and third party network transactions, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

Payments you receive will be subject to backup withholding if:

1. You do not furnish your TIN to the requester,
2. You do not certify your TIN when required (see the Part II instructions on page 3 for details),

3. The IRS tells the requester that you furnished an incorrect TIN,

4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or

5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See *Exempt payee code* on page 3 and the separate Instructions for the Requester of Form W-9 for more information.

Also see *Special rules for partnerships* above.

What is FATCA reporting?

The Foreign Account Tax Compliance Act (FATCA) requires a participating foreign financial institution to report all United States account holders that are specified United States persons. Certain payees are exempt from FATCA reporting. See *Exemption from FATCA reporting code* on page 3 and the Instructions for the Requester of Form W-9 for more information.

Updating Your Information

You must provide updated information to any person to whom you claimed to be an exempt payee if you are no longer an exempt payee and anticipate receiving reportable payments in the future from this person. For example, you may need to provide updated information if you are a C corporation that elects to be an S corporation, or if you no longer are tax exempt. In addition, you must furnish a new Form W-9 if the name or TIN changes for the account; for example, if the grantor of a grantor trust dies.

Penalties

Failure to furnish TIN. If you fail to furnish your correct TIN to a requester, you are subject to a penalty of \$50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

Civil penalty for false information with respect to withholding. If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a \$500 penalty.

Criminal penalty for falsifying information. Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

Misuse of TINs. If the requester discloses or uses TINs in violation of federal law, the requester may be subject to civil and criminal penalties.

Specific Instructions

Line 1

You must enter one of the following on this line; **do not** leave this line blank. The name should match the name on your tax return.

If this Form W-9 is for a joint account, list first, and then circle, the name of the person or entity whose number you entered in Part I of Form W-9.

a. **Individual.** Generally, enter the name shown on your tax return. If you have changed your last name without informing the Social Security Administration (SSA) of the name change, enter your first name, the last name as shown on your social security card, and your new last name.

Note. ITIN applicant: Enter your individual name as it was entered on your Form W-7 application, line 1a. This should also be the same as the name you entered on the Form 1040/1040A/1040EZ you filed with your application.

b. **Sole proprietor or single-member LLC.** Enter your individual name as shown on your 1040/1040A/1040EZ on line 1. You may enter your business, trade, or "doing business as" (DBA) name on line 2.

c. **Partnership, LLC that is not a single-member LLC, C Corporation, or S Corporation.** Enter the entity's name as shown on the entity's tax return on line 1 and any business, trade, or DBA name on line 2.

d. **Other entities.** Enter your name as shown on required U.S. federal tax documents on line 1. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on line 2.

e. **Disregarded entity.** For U.S. federal tax purposes, an entity that is disregarded as an entity separate from its owner is treated as a "disregarded entity." See Regulations section 301.7701-2(c)(2)(iii). Enter the owner's name on line 1. The name of the entity entered on line 1 should never be a disregarded entity. The name on line 1 should be the name shown on the income tax return on which the income should be reported. For example, if a foreign LLC that is treated as a disregarded entity for U.S. federal tax purposes has a single owner that is a U.S. person, the U.S. owner's name is required to be provided on line 1. If the direct owner of the entity is also a disregarded entity, enter the first owner that is not disregarded for federal tax purposes. Enter the disregarded entity's name on line 2, "Business name/disregarded entity name." If the owner of the disregarded entity is a foreign person, the owner must complete an appropriate Form W-8 instead of a Form W-9. This is the case even if the foreign person has a U.S. TIN.

Line 2

If you have a business name, trade name, DBA name, or disregarded entity name, you may enter it on line 2.

Line 3

Check the appropriate box in line 3 for the U.S. federal tax classification of the person whose name is entered on line 1. Check only one box in line 3.

Limited Liability Company (LLC). If the name on line 1 is an LLC treated as a partnership for U.S. federal tax purposes, check the "Limited Liability Company" box and enter "P" in the space provided. If the LLC has filed Form 8832 or 2553 to be taxed as a corporation, check the "Limited Liability Company" box and in the space provided enter "C" for C corporation or "S" for S corporation. If it is a single-member LLC that is a disregarded entity, do not check the "Limited Liability Company" box; instead check the first box in line 3 "Individual/sole proprietor or single-member LLC."

Line 4, Exemptions

If you are exempt from backup withholding and/or FATCA reporting, enter in the appropriate space in line 4 any code(s) that may apply to you.

Exempt payee code.

- Generally, individuals (including sole proprietors) are not exempt from backup withholding.
- Except as provided below, corporations are exempt from backup withholding for certain payments, including interest and dividends.
- Corporations are not exempt from backup withholding for payments made in settlement of payment card or third party network transactions.
- Corporations are not exempt from backup withholding with respect to attorneys' fees or gross proceeds paid to attorneys, and corporations that provide medical or health care services are not exempt with respect to payments reportable on Form 1099-MISC.

The following codes identify payees that are exempt from backup withholding. Enter the appropriate code in the space in line 4.

- 1—An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2)
- 2—The United States or any of its agencies or instrumentalities
- 3—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities
- 4—A foreign government or any of its political subdivisions, agencies, or instrumentalities
- 5—A corporation
- 6—A dealer in securities or commodities required to register in the United States, the District of Columbia, or a U.S. commonwealth or possession
- 7—A futures commission merchant registered with the Commodity Futures Trading Commission
- 8—A real estate investment trust
- 9—An entity registered at all times during the tax year under the Investment Company Act of 1940
- 10—A common trust fund operated by a bank under section 584(a)
- 11—A financial institution
- 12—A middleman known in the investment community as a nominee or custodian
- 13—A trust exempt from tax under section 664 or described in section 4947

The following chart shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 13.

IF the payment is for . . .	THEN the payment is exempt for . . .
Interest and dividend payments	All exempt payees except for 7
Broker transactions	Exempt payees 1 through 4 and 6 through 11 and all C corporations. S corporations must not enter an exempt payee code because they are exempt only for sales of noncovered securities acquired prior to 2012.
Barter exchange transactions and patronage dividends	Exempt payees 1 through 4
Payments over \$600 required to be reported and direct sales over \$5,000 ¹	Generally, exempt payees 1 through 5 ²
Payments made in settlement of payment card or third party network transactions	Exempt payees 1 through 4

¹ See Form 1099-MISC, Miscellaneous Income, and its instructions.

² However, the following payments made to a corporation and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees, gross proceeds paid to an attorney reportable under section 6045(f), and payments for services paid by a federal executive agency.

Exemption from FATCA reporting code. The following codes identify payees that are exempt from reporting under FATCA. These codes apply to persons submitting this form for accounts maintained outside of the United States by certain foreign financial institutions. Therefore, if you are only submitting this form for an account you hold in the United States, you may leave this field blank. Consult with the person requesting this form if you are uncertain if the financial institution is subject to these requirements. A requester may indicate that a code is not required by providing you with a Form W-9 with "Not Applicable" (or any similar indication) written or printed on the line for a FATCA exemption code.

A—An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)

B—The United States or any of its agencies or instrumentalities

C—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities

D—A corporation the stock of which is regularly traded on one or more established securities markets, as described in Regulations section 1.1472-1(c)(1)(i)

E—A corporation that is a member of the same expanded affiliated group as a corporation described in Regulations section 1.1472-1(c)(1)(i)

F—A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state

G—A real estate investment trust

H—A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940

I—A common trust fund as defined in section 584(a) J—

A bank as defined in section 581

K—A broker

L—A trust exempt from tax under section 664 or described in section 4947(a)(1)

M—A tax exempt trust under a section 403(b) plan or section 457(g) plan

Note. You may wish to consult with the financial institution requesting this form to determine whether the FATCA code and/or exempt payee code should be completed.

Line 5

Enter your address (number, street, and apartment or suite number). This is where the requester of this Form W-9 will mail your information returns.

Line 6

Enter your city, state, and ZIP code.

Part I. Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. If you are a resident alien and you do not have and are not eligible to get an SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box. If you do not have an ITIN, see *How to get a TIN* below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN. However, the IRS prefers that you use your SSN.

If you are a single-member LLC that is disregarded as an entity separate from its owner (see *Limited Liability Company (LLC)* on this page), enter the owner's SSN (or EIN, if the owner has one). Do not enter the disregarded entity's EIN. If the LLC is classified as a corporation or partnership, enter the entity's EIN.

Note. See the chart on page 4 for further clarification of name and TIN combinations.

How to get a TIN. If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local SSA office or get this form online at www.ssa.gov. You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at www.irs.gov/businesses and clicking on Employer Identification Number (EIN) under Starting a Business. You can get Forms W-7 and SS-4 from the IRS by visiting IRS.gov or by calling 1-800-TAX-FORM (1-800-829-3676).

If you are asked to complete Form W-9 but do not have a TIN, apply for a TIN and write "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

Note. Entering "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

Caution: A disregarded U.S. entity that has a foreign owner must use the appropriate Form W-8.

Part II. Certification

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if items 1, 4, or 5 below indicate otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). In the case of a disregarded entity, the person identified on line 1 must sign. Exempt payees, see *Exempt payee code* earlier.

Signature requirements. Complete the certification as indicated in items 1 through 5 below.

1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983. You must give your correct TIN, but you do not have to sign the certification.

2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983. You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

3. Real estate transactions. You must sign the certification. You may cross out item 2 of the certification.

4. Other payments. You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments made in settlement of payment card and third party network transactions, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions. You must give your correct TIN, but you do not have to sign the certification.

What Name and Number To Give the Requester

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account)	The actual owner of the account or, if combined funds, the first individual on the account ¹
3. Custodian account of a minor (Uniform Gift to Minors Act)	The minor ²
4. a. The usual revocable savings trust (grantor is also trustee) b. So-called trust account that is not a legal or valid trust under state law	The grantor-trustee ¹ The actual owner ¹
5. Sole proprietorship or disregarded entity owned by an individual	The owner ³
6. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulations section 1.671-4(b)(2)(i)(A))	The grantor [*]
For this type of account:	Give name and EIN of:
7. Disregarded entity not owned by an individual	The owner
8. A valid trust, estate, or pension trust	Legal entity ⁴
9. Corporation or LLC electing corporate status on Form 8832 or Form 2553	The corporation
10. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
11. Partnership or multi-member LLC	The partnership
12. A broker or registered nominee	The broker or nominee
13. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity
14. Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulations section 1.671-4(b)(2)(i)(B))	The trust

¹List first and circle the name of the person whose number you furnish. If only one person on a joint account has an SSN, that person's number must be furnished.

²Circle the minor's name and furnish the minor's SSN.

³You must show your individual name and you may also enter your business or DBA name on the "Business name/disregarded entity" name line. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.

⁴List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.) Also see *Special rules for partnerships* on page 2.

*Note. Grantor also must provide a Form W-9 to trustee of trust.

Note. If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

Secure Your Tax Records from Identity Theft

Identity theft occurs when someone uses your personal information such as your name, SSN, or other identifying information, without your permission, to commit fraud or other crimes. An identity thief may use your SSN to get a job or may file a tax return using your SSN to receive a refund.

To reduce your risk:

- Protect your SSN,
- Ensure your employer is protecting your SSN, and
- Be careful when choosing a tax preparer.

If your tax records are affected by identity theft and you receive a notice from the IRS, respond right away to the name and phone number printed on the IRS notice or letter.

If your tax records are not currently affected by identity theft but you think you are at risk due to a lost or stolen purse or wallet, questionable credit card activity or credit report, contact the IRS Identity Theft Hotline at 1-800-908-4490 or submit Form 14039.

For more information, see Publication 4535, Identity Theft Prevention and Victim Assistance.

Victims of identity theft who are experiencing economic harm or a system problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be eligible for Taxpayer Advocate Service (TAS) assistance. You can reach TAS by calling the TAS toll-free case intake line at 1-877-777-4778 or TTY/TDD 1-800-829-4059.

Protect yourself from suspicious emails or phishing schemes. Phishing is the creation and use of email and websites designed to mimic legitimate business emails and websites. The most common act is sending an email to a user falsely claiming to be an established legitimate enterprise in an attempt to scam the user into surrendering private information that will be used for identity theft.

The IRS does not initiate contacts with taxpayers via emails. Also, the IRS does not request personal detailed information through email or ask taxpayers for the PIN numbers, passwords, or similar secret access information for their credit card, bank, or other financial accounts.

If you receive an unsolicited email claiming to be from the IRS, forward this message to phishing@irs.gov. You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration (TIGTA) at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at: spam@uce.gov or contact them at www.ftc.gov/idtheft or 1-877-IDTHEFT (1-877-438-4338).

Visit IRS.gov to learn more about identity theft and how to reduce your risk.

Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons (including federal agencies) who are required to file information returns with the IRS to report interest, dividends, or certain other income paid to you; mortgage interest you paid; the acquisition or abandonment of secured property; the cancellation of debt; or contributions you made to an IRA, Archer MSA, or HSA. The person collecting this form uses the information on the form to file information returns with the IRS, reporting the above information. Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation and to cities, states, the District of Columbia, and U.S. commonwealths and possessions for use in administering their laws. The information also may be disclosed to other countries under a treaty, to federal and state agencies to enforce civil and criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism. You must provide your TIN whether or not you are required to file a tax return. Under section 3406, payers must generally withhold a percentage of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to the payer. Certain penalties may also apply for providing false or fraudulent information.