



# It pays to become a Colorado Lottery Retailer

## RETAILER APPLICATION

**Grow Your Business and Make Colorado More Beautiful, Too!**



The Colorado Lottery | 225 N Main Street | Pueblo, CO 81003 | 800.999.2959  
Visit [www.coloradolottery.com](http://www.coloradolottery.com) for more details and retailer resources.

March 2021



# A Letter From the Lottery Director

## DEAR APPLICANT:

Since 1983, the Colorado Lottery has been making an impact on communities and benefiting businesses by stimulating local economies through the sale of Lottery products .

Currently more than 3,000 retailers across Colorado are selling Lottery games, increasing traffic to their stores and ultimately contributing to parks, recreation, trails, open space, wildlife and conservation education. These retailers include large grocery stores, convenience stores, gas stations, liquor stores, independent “mom & pop” shops and bars and restaurants—so players can find the Lottery just about anywhere. We rely on this diverse network of retailers to be our “window” to Lottery players.

Our retailers earn a commission for every ticket they sell and every prize they pay out. In FY19, our retail partners earned a total of \$51.4 million in retailer compensation.

The Lottery is proud of its partnership with the wide variety of retailers who sell Lottery tickets, and we hope to continue these positive relationships in the future.



*Tom Seaver*  
Colorado Lottery Director

Tom Seaver, Director

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# Follow this Easy Checklist

**Complete and send all forms to:**  
Colorado Lottery Attn: Retail Licensing  
225 N Main St • Pueblo, CO 81003

- 1 Retailer License Application**  
Complete all sections and be sure to sign in the appropriate location.
- 2 Retailer Licensing Fees**  
Read, choose bonding option and sign where indicated.
- 3 Retailer Agreement**  
Read it carefully and sign where indicated on the bottom of the second page.
- 4 EFT (Electronic Funds Transfer) Authorization**  
Complete, sign and be sure to attach a voided check.
- 5 Individual History Form**  
All principals of the business must complete this form (partners, LLC members, sole proprietors, principal corporate officers and all stockholders of corporations holding 10% or more).
- 6 Authorization to Install Communications**  
Read it carefully and sign where indicated.
- 7 Minimum Sales Requirement**  
Read and be sure to understand the requirement.
- 8 W-9**  
You must include a copy of your FEIN application (IRS Form SS4) if you have not received your FEIN number.
- 9 Fingerprint Affirmation**  
Digital fingerprinting can be done at Colorado Lottery offices located at 225 N Main St in Pueblo, 720 S Colorado Blvd in Denver or by visiting IdentoGo's scheduling website: <https://uenroll.identogo.com/> or calling 1(844)539-5539 to schedule finger-printing services at one of their Colorado locations. Use Service Code 25YRRG
- 10 ADA Requirements & Guidelines**  
Read it carefully and be sure to comply.



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# Retailer Licensing Application

<b>FOR LOTTERY USE ONLY:</b>	County Code	Business Code	District #	Route #	Corporate Acct #

**PLEASE PRINT**

1. BUSINESS NAME: \_\_\_\_\_  
(Visible to public)

2. BUSINESS ADDRESS \_\_\_\_\_  
(Sales Location) (Street Address)

(City) (State) (Zip) (County)

3. BUSINESS PHONE NUMBER: \_\_\_\_\_  
(Sales Location)

4. CONTACT NAME & NUMBER FOR PRODUCT ORDERS: \_\_\_\_\_

5. COLORADO STATE SALES TAX NUMBER: \_\_\_\_\_

6. MAILING ADDRESS: \_\_\_\_\_  
(If different from Street Address)

7. BUSINESS HOURS: 24/7 Mon—Fri \_\_\_\_\_ – \_\_\_\_\_ Sat \_\_\_\_\_ – \_\_\_\_\_ Sun \_\_\_\_\_ – \_\_\_\_\_

8. Do you own any other locations that sell Lottery products (Chain Stores, etc.)  YES  NO  
(Attach a list and include store numbers, complete addresses, phone numbers and branch numbers)  
Headquarter ID# (if known): \_\_\_\_\_

9. Is this a Change-of-Ownership application? (The previous owner was a Lottery retailer?)  YES  NO  
If YES....  
Date of Change: \_\_\_\_\_ Previous Lottery ID # (if known): \_\_\_\_\_

10. IS STORE READY FOR TERMINAL INSTALL?  YES  NO IF NO, GIVE A DATE: \_\_\_\_\_

I understand that a false answer to any of the foregoing can subject the applicant to denial, suspension or revocation of a license. I certify, under penalty of perjury in the second degree, that all of the information in this application is complete and correct to the best of my knowledge and belief. I certify that I have read and understand the information contained in this form and the Colorado Lottery Rules provided.

**Sole proprietors and all general partners of partnerships must sign here:**

\_\_\_\_\_

**Corporations/LLC must sign here:**

CORPORATION OR LLC NAME: \_\_\_\_\_  
SIGNATURE:(Corporate Officer, Stockholder/LLC Member) \_\_\_\_\_



# Retailer Licensing Fees

## RETAILER COMPENSATION

Retailer compensation for licensed Colorado Lottery retailers includes the following commissions and bonuses. The RAISE bonus and selling bonuses are subject to annual review and end-of-year adjustments may be made at the discretion of the Colorado Lottery Director.

- SCRATCH GAME COMMISSION** 7%
- JACKPOT GAME COMMISSION** 6%
- CASHING BONUS** 1% (On all prizes redeemed at place of business)
- RAISE BONUS\*** 7% (On Scratch sales above the retailer's sales forecast)
- SELLING BONUS** (Bonuses for selling select top prizes of Jackpot games and Scratch prizes of \$1 million and \$3 million)

\* RAISE bonus capped annually at 1/2% of total Fiscal Year Scratch sales; percentage paid to retailers may be adjusted down to remain under cap.

## RETAILER FEES

These are the costs that are associated with acquiring a Colorado Lottery License. Be sure you understand and agree to them before signing this document.

### \$21 LICENSE FEE

Due annually for each retail location, payable via Electronic Funds Transfer (EFT).

### ELECTRICAL WIRING COSTS

You will be responsible for any electrical wiring costs that may be required for installation.

### \$5 COMMUNICATION FEE

You will be charged \$5 weekly via EFT to support communications to the Lottery terminal.

### \$5 COMMUNICATION FEE

Colorado Lottery Rule requires that all retailers be bonded. Applications may choose to be bonded by the state, or you can bond your business yourself (self bond). Please make your selection below.

State Bond- you can pay a \$40 fee per year, per location via EFT to the Lottery directly.

Self Bond- if you elect to purchase your own, you must obtain a surety bond through an insurance company to cover Lottery losses up to \$2,000 per location. You must submit proof of your bond when you submit this Application for Licensing.

**NOTE: The Licensing fee and the state-issued bond fee are non-refundable. Bonding fees will be adjusted based on the number of outlets per headquarter account.**

Name: \_\_\_\_\_  
(Print)

Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
(Signature)



1. The Applicant for a Lottery Retailer's License (Applicant) agrees to be bound by and comply with the law, rules, regulations and instructions promulgated all applicable by the Colorado Lottery if such a License is issued.
2. The Applicant understands and consents to a background investigation including, but not limited to, criminal background, personal credit of all persons having a substantial interest in the business and state sales tax compliance, and waives any rights or causes of action against, and holds harmless, the Colorado Lottery or other individual or agency disclosing or releasing said information to the Colorado Lottery. A substantial interest in the business means ownership of more than ten percent (10%) of the business.
3. The Applicant agrees to have adequate staff necessary for the operation of the Lottery terminal and to sell and merchandise all Lottery products effectively and appropriately, and make available for sale to the public valid Lottery tickets during the Applicant's normal business hours.
4. The Applicant agrees not to sell Lottery products to anyone under the age of 18; doing so may result in retailer losing its license.
5. The Applicant agrees to meet minimum sales requirements as specified by the Lottery.
6. Prize Payout: All retailers are required to pay winning Scratch and Jackpot games (Powerball, Mega Millions, Lucky for Life, Colorado Lotto+, Cash 5, Pick 3) tickets up to and including \$150. Retailers may choose to accept prize-winning tickets less than \$600 for validation and payment. **Retailers are required to pay ALL tickets they validate.**
7. The Applicant agrees to maintain authorized displays, including approved point-of-sale, notices, drop boxes and other materials used in conjunction with Lottery ticket sales in accordance with the instructions of the Colorado Lottery. **The ESMM monitor must be visible to the public.**
8. Un-activated packs of Scratch tickets and Jackpot ticket stock should be moved into a reasonably secure storage area immediately upon receipt.
  - All Scratch ticket packs, once activated, are the financial responsibility of the Applicant, **including those that are stolen.**
  - The Applicant shall follow the Retailer Stolen Scratch Ticket Procedure and immediately upon discovery report ticket theft or loss to the Colorado Lottery Security and Investigations Unit and/or local authorities.
9. The applicant agrees to maintain accurate records of Lottery Scratch ticket inventory in accordance with Lottery rule 2.4. The Lottery recommends a minimum of one inventory per day in order to maintain accurate records. If a retailer chooses not to do a daily inventory they will not be reimbursed for stolen Scratch tickets in the event of a theft.
10. The Applicant agrees to make available to duly authorized representatives of the Colorado Lottery, upon their request, those records he/she shall be required to maintain.
11. The Applicant agrees that the License issued hereunder may be revoked, suspended or its renewal rejected for any or all of the following reasons in accordance to Colorado Revised Statute 44-40-107 (2)(a) & (b); but not necessarily limited hereto:
  - Whenever the Applicant uses false or misleading information to obtain a License.
  - Whenever the Applicant violates any of the provisions of the Colorado Lottery or any rules, regulations, or instructions promulgated or issued thereunder by the Colorado Lottery.
  - Whenever it is determined by the Lottery Director that the Applicant fails to meet minimum sales or volume requirements considering the market locale of the Applicant.
  - Multiple insufficient funds.



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# Retailer Agreement

12. The Applicant agrees that he/she shall hold the Colorado Lottery harmless from any liability arising from or related to operating and conducting Lottery ticket sales if a License is issued.
13. The Applicant agrees to provide authorization for an account with EFT (Electronic Funds Transfer) capability to be used for weekly billing of Lottery products.
  - Applicant also agrees that the state of Colorado, its agencies, officers and assigns, shall be entitled to collect from Applicant all expenses incurred in recovery of any debt created by the agreement, or in pursuing any other remedy provided by law, including but not limited to reasonable attorney fees and other costs incurred in collecting the debt.
  - The Applicant is aware that their Lottery terminal will be interrupted by the Lottery for any non-payment of funds, License expiration or violation of the statute, rules and policies governing the Colorado Lottery.
14. It is understood and agreed by the Applicant that Lottery licenses are non-transferable. It is further understood that a change of ownership or reorganization must be reported to the Colorado Lottery immediately. New owners buying a Licensed retail outlet may be denied a License if current minimum sales levels are not being met at the retailer's location.
  - The Applicant agrees to post the issued Lottery License in an area visible to the general public.
  - The Applicant agrees to post only the current year Lottery license.
  - The Applicant agrees to contact the Lottery or Lottery Sales Representative to obtain a current year replacement license, in the case of an expired license.
15. It is understood and agreed by the Applicant to re-apply for a Lottery License by the RETURN BY date on their Renewal Application. The license does not expire if timely renewed, and an application is considered timely if received by Lottery within 30 days of the "Expiration" date. After the License expires or is terminated, the Applicant shall not hold itself out to the general public as a Lottery Retailer
16. All Lottery terminals, signage and ticket dispensers are the property of Colorado Lottery or the "online" vendor. The Lottery reserves the right to remove Lottery equipment if a retailer violates statute, rules, and/or policies governing the Colorado Lottery or at any time at the discretion of the Lottery Director.

### NOTICE

**The principles of the firm or organization submitting this Lottery License Application warrant that no person of the Applicant's firm or organization who has proprietary, equitable or credit interest, or who is an officer, director or managing agent, whether compensated or not, or who participates in the management or sales of Lottery tickets or shares, is:**

- A person who has been convicted of a gambling-related offense;
- A person who is or has been a professional gambler or gambling promoter;
- A person who has engaged in bookmaking or any other form of illegal gambling;
- A person who is not of good character and reputation in the community in which he resides;
- A person who has been convicted of a felony or crime involving fraud.

*See section 44-40-107, C.R.S.*

VIOLATION OF THE TERMS OF THIS AGREEMENT, OR OF THE STATUTE, RULES AND POLICIES GOVERNING THE COLORADO LOTTERY MAY RESULT IN THE SUSPENSION, REVOCATION, OR NONRENEWAL OF A LOTTERY LICENSE.

**I acknowledge that the information provided in the renewal application is correct and accurate under penalty of perjury in the second degree. I also acknowledge that I have read the retailer agreement and agree to abide by the requirements established by Lottery statute and rules.**

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

(Print)

Signature: \_\_\_\_\_

(Signature)

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





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# EFT Authorization

BUSINESS NAME: \_\_\_\_\_

This Electronic Funds Transfer (EFT) authorization form must be completed, signed and submitted with the Application for Lottery Retailer's License.

Do you own more than one location that sells Lottery games:  YES  NO

If YES, do you want to bill all locations to one account?  YES  NO

I (we) authorize the COLORADO LOTTERY, hereinafter called COMPANY, to initiate debit and credit entries to my (our)

CHECKING ACCOUNT or  SAVINGS ACCOUNT

indicated below, and the depository named below, hereinafter called DEPOSITORY, to debit or credit the same such account.

DATE FUNDS WILL BE AVAILABLE: / / BANK (DEPOSITORY) NAME: \_\_\_\_\_

NAME ON ACCOUNT: \_\_\_\_\_

**ATTACH A VOIDED CHECK HERE**



This authority is to remain in full force and effect until COMPANY and DEPOSITORY have received written notification from me/us of its termination in such time and in such manner as to afford COMPANY and DEPOSITORY a reasonable time to act on it.

\_\_\_\_\_  
PRINT NAME SIGNATURE

\_\_\_\_\_  
PRINT NAME SIGNATURE

If there are not enough funds in your bank account for the payment to clear, a non-transfer of funds (NTF) is created. Having an NTF may result in one or more of the following: 1) a processing charge, 2) Lottery terminal interruption, 3) loss of your Lottery License.

Please list the contact information of the person the Lottery should contact in the event of a NTF notification.

PLEASE PRINT

NAME \_\_\_\_\_

MAILING ADDRESS \_\_\_\_\_

TELEPHONE NUMBER \_\_\_\_\_ CELL NUMBER \_\_\_\_\_

EMAIL \_\_\_\_\_





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# Individual History

1. BUSINESS NAME: \_\_\_\_\_

2. INDIVIDUAL'S FULL NAME: \_\_\_\_\_  
(Print First, Middle and Last Name)

Mr. Mrs./Ms.

AKA: \_\_\_\_\_  
(Also Known As, i.e.: Maiden Name/Nickname)

3. HOME ADDRESS: \_\_\_\_\_  
(Street, City, State, Zipcode)

4. EMAIL: \_\_\_\_\_

5. DATE OF BIRTH: \_\_\_\_\_ SS# or ITIN#: \_\_\_\_\_

6. INDIVIDUAL'S RELATIONSHIP TO BUSINESS: Owner Partner LLC Member Principal Officer

Stockholder (10% or more) % of Ownership: \_\_\_\_\_

7. US CITIZEN? YES NO COLORADO RESIDENT: YES NO  
(If NO, where do you reside?) \_\_\_\_\_

8 DAY PHONE: \_\_\_\_\_ HOME PHONE \_\_\_\_\_  
(area code) (area code)

9. Have you, or has any company or organization directly or indirectly controlled by you, ever been convicted, fined, imprisoned, placed on probation or received a suspended sentence for ANY offense (Petty Offense, Misdemeanor, Felony, or any other classification) in criminal or military court (do not include traffic violations)? YES NO  
(If YES, explain in detail on a separate sheet and attach.)

10. Are you currently, or were you previously, an owner, partner, principal officer or stockholder of a business which is currently or was previously licensed by the Colorado Lottery? YES NO  
(If YES, list business name(s) or Lottery Retailer ID#: \_\_\_\_\_)

I understand and consent to an investigation of my personal credit history, background and police records, and to waive any rights or causes of action that I may have against the Colorado Lottery and any other individual or agency disclosing or releasing said information to the Colorado Lottery.

I understand and consent, for the duration of the license, if issued, to inspection by any law enforcement official or duly authorized state Lottery official without a warrant or other process, of my licensed premises to determine whether I am complying with the provisions of the Colorado Lottery Laws, Rules and Regulations.

I further understand that a false answer to any of the foregoing can subject the applicant to denial, suspension or revocation of a license. I certify under penalty of perjury in the second degree that all of the information in this Individual History Record is complete and correct to the best of my knowledge and belief.

Name: \_\_\_\_\_  
(Print)

Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
(Signature)



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# Communications Install

## RETAILER: DO NOT ORDER PHONE LINES/COMMUNICATIONS FOR LOTTERY TERMINAL

This form provides authorization for the Colorado Lottery (either directly or through a sub-contractor) to install and maintain the necessary communications equipment to support a Colorado Lottery terminal (satellite, wireless or DSL). The Colorado Lottery and its vendor, IGT, will determine the best communications equipment for your location. Installation of this equipment cannot begin until this completed form is received by the Colorado Lottery.

### PLEASE PRINT

BUSINESS NAME: \_\_\_\_\_

BUSINESS ADDRESS: \_\_\_\_\_  
(Street Address)

\_\_\_\_\_  
(City) (State) (Zip) (County)

CONTACT NAME & PHONE NUMBER: \_\_\_\_\_

CURRENT TELEPHONE SERVICE PROVIDER: \_\_\_\_\_

Does a landlord own the retailer's business building? NO Complete the **DSL Section** and initial where indicated for VSAT authorization.

YES Have the landlord complete the **Satellite (VSAT) Section** of this form and store owner/manager complete the **DSL Authorization Section**. (If this is a Change-of-Ownership and the landlord's authorization for VSAT is already on file at the Lottery, the landlord won't need to complete the VSAT Section.)

### SATELLITE INSTALLATION: The signatory below acknowledges ownership of the business building at the above address, leased to:

\_\_\_\_\_  
(Name of Business Owner)

The building owner authorizes the Lottery's vendor, IGT, to install any necessary satellite communications equipment/cabling at this business building. Equipment normally includes a satellite dish (36" x 36"), a non-penetrating roof or pole mount to support the dish, an indoor unit and appropriate cabling. If a penetrating mount is needed or if a cable path needs to be created, IGT's satellite vendor will inform the store contact prior to performing the necessary work to complete the install.

Name of Building Owner: \_\_\_\_\_ Telephone Number of Building Owner: \_\_\_\_\_

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

**DSL INSTALLATION:** The preferred communication equipment is satellite, however if satellite or wireless will not work at your locations, DSL will be installed. Retailer authorizes the Lottery's vendor, IGT, to order/install necessary DSL telecommunications equipment at this business location. Extended wiring to support the Lottery terminal will be completed after the DSL is completed. Retailer acknowledges maintaining local service through Century Link for a period of 18 months from order date or until business is no longer a Lottery retailer. If a retailer will be changing their local telephone service carrier, IGT and the Colorado Lottery must be notified two weeks prior in order to ensure no interruption of Lottery service.

Name of Business Owner: \_\_\_\_\_ Contact Telephone Number for DSL Service: \_\_\_\_\_

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

Initial here if you are the OWNER of the building at the address listed above for authorization to install satellite (VSAT) communications, if necessary.



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# Minimum Sales Requirement

As a state agency, the Colorado Lottery must ensure that it is operating efficiently, securely and best promoting the public interest. In order to comply with Lottery Rule 2 and to make sure that our retail network performs profitably, the Lottery has established minimum sales standards for all retailers based on a fiscal break-even analysis of Lottery costs. Findings determined that a retailer must sell at least **\$10,800 per year or \$2,700 per quarter** to cover its operating expenses.

## MINIMUM SALES REQUIREMENTS

All retailers must meet the sales requirement of **\$2,700 per quarter or approximately \$208 per week** in total sales.

Any retailer that fails to meet the requirement by the last day of a given quarter will be placed on probation for the following quarter. The Lottery Sales Representative will notify the owner of its sales progress throughout the quarter and require the owner to sign a Sales Notification Form at least twice during the probationary period. If at the end of the probationary quarter, the retailer has not been able to reach the minimum required, the retailer License will be revoked and all equipment and tickets will be removed from the business.

The business must wait a minimum of one year, and demonstrate that circumstances have changed to significantly increase sales, before re-applying for a Lottery License. If traffic volume has not shown an increase, the License will not be approved.

An individual retailer may only be placed on probation once during the fiscal year. If it falls below the minimum a second time, it will immediately surrender its Lottery license.

## EXCEPTION REQUESTS

If a retailer has failed to meet the minimum sales requirement, at the end of their probationary period, the Lottery Sales Representative may request an exception. An exception to rescinding the License may be granted on a permanent basis or temporary period of time. Your Sales Representative will explain what kind of exceptions are granted and the exception approval process.

## NEW RETAILERS AND CHANGES OF OWNERSHIP

All new retailers and changes of ownership will be given two full quarters to reach the required sales per quarter minimum.

No probationary period will be granted to a new retailer or change of ownership. If a new account has not met the required sales after its six month startup period, its license will be revoked immediately.

## CORPORATE/CHAIN ACCOUNTS

A corporate/chain account is defined as a retailer with multiple outlets. The Lottery will assign a corporate/chain account a Headquarter ID number.

If a single store within a chain falls below the minimum sales requirement, the chain's total sales will be taken into consideration. If the chain's aggregate sales meets the overall minimum sales required from each of its stores, no action will be taken. (E.g.: some of the chain's stores exceed the minimum requirement enough to cover the sales of the store(s) that do not meet it.)

If the chain is given a newly established minimum and it does not meet it, then the individual store will be placed on probation for one quarter. An exception may be negotiated, however, if a store still fails to again meet the minimum requirement, that store will have its Lottery License revoked.

Name: \_\_\_\_\_  
(Print)

Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
(Signature)

# Request for Taxpayer Identification Number and Certification

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

Go to [www.irs.gov/FormW9](http://www.irs.gov/FormW9) for instructions and the latest information.

**1** Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.

**2** Business name/organizational entity name, if different from above

**3** Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only one of the following return boxes.

Individual/sole proprietor or single-member LLC

S-Corporation

C-Corporation

Partnership

Trust/estate

Limited liability company. Enter the tax classification (S-C corporation, C corporation, P-Partnership) ▶ \_\_\_\_\_

**Note:** Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is not disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner.

Other (see instructions) ▶ \_\_\_\_\_

**4** Exceptions (codes apply only to certain entities, see instructions on page 3):

Exempt payee code (if any) \_\_\_\_\_

Exemption from FATCA reporting code (if any) \_\_\_\_\_

(Applies to accounts established outside the U.S.)

**5** Address (number, street, and apt. or suite no.) See instructions.

**6** City, state, and ZIP+4 code

**7** List account number(s) here (optional)

Requester's name and address (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 instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN*, later.

**8** Social Security number

				-			-						
--	--	--	--	---	--	--	---	--	--	--	--	--	--

OR

**9** Employer identification number

				-									
--	--	--	--	---	--	--	--	--	--	--	--	--	--

**Note:** If the account is in more than one name, see the instructions for line 1. Also see *What Names and Number To Give the Requester* for guidelines on whose number to enter.

**Part II Certification**

Under penalties of perjury, I certify that:

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

**Certification instructions.** You must check all line 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 most sales transactions, line 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 this certification, but you must provide your correct TIN. See the instructions for Part II, later.

**Sign Here**

Signature of U.S. person ▶ \_\_\_\_\_

Date ▶ \_\_\_\_\_

**General instructions**

Section references are to the Internal Revenue Code unless otherwise noted.

**Future developments.** For the latest information about developments related to Form W-9 and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/FormW9](http://www.irs.gov/FormW9).

**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-ES (grosses with raw estate transactions)
- Form 1099-K (merchant card and third party network transactions)
- Form 1099 (home mortgage interest), 1099-E (student loan interest), 1099-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*, later.

By signing the filled-out form, you:

1. Certify that the TIN you are giving is correct (or you are willing for a number to be issued),
  2. Certify that you are not subject to backup withholding, or
  3. Claim an 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 reporting software on this form (if any) indicating that you are exempt from the FATCA reporting, is correct. See *What is FATCA reporting*, later, for further information.

**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 each 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 8230 (see Pub. 515, *Withholding of Tax on Nonresident Aliens and Foreign Entities*).

**Nonresident alien who becomes a resident alien.** Generally, only a nonresident alien individual may see 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 exemption 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 180 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 exemption (under paragraph 2 of the First Protocol) and is relying on this exemption 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 8230.

## Backup Withholding

**What is backup withholding?** Persons making certain payments to you must under certain conditions withhold and pay to the IRS 24% 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 instructions for Part II 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 10/03/09).

Certain payments and payments are exempt from backup withholding. See *Exempt payee code*, later, and the separate instructions for the Requester of Form W-9 for more information.

See also *Special rules for partnerships*, earlier.

## 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 *Exemptions from FATCA reporting code*, later, 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.

Obtain consent from the payee for releasing information. Withholding certificates or affirmations may subject you to criminal penalties including fines and/or imprisonment.

**File name 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 (other than an account maintained by a foreign financial institution (FFI), see Part 1, and then circle the name of the person or entity whose name you entered in Part I of Form W-9. If you are providing Form W-9 to an FFI to document a joint account, each holder of the account that is a U.S. person must provide a 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.

**Notes: TIN applicants.** Enter your individual name as it was entered on your Form W-7 application, line 1a. This should also be the name on 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, S corporation, or C 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. The name should match the name shown on the check 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 301.7701-3(c)(2)(ii). 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 on line 3 for the U.S. federal tax classification of the person whose name is entered on line 1. Check only one box on line 3.

IF the entity/person on line 1 is an... ..	THEN check the box for ...
<ul style="list-style-type: none"> <li>• Corporation</li> </ul>	Corporation
<ul style="list-style-type: none"> <li>• Individual</li> <li>• Sole proprietorship, or</li> <li>• Single-member limited liability company (LLC) owned by an individual and disregarded for U.S. federal tax purposes.</li> </ul>	Individual/sole proprietor or single-member LLC
<ul style="list-style-type: none"> <li>• LLC treated as a partnership for U.S. federal tax purposes,</li> <li>• LLC that has filed Form 2250 or 2250B to be treated as a corporation, or</li> <li>• LLC that is disregarded as an entity separate from its owner but the owner is another LLC that is not disregarded for U.S. federal tax purposes.</li> </ul>	Limited liability company and enter the appropriate tax classification. (P—Partnership; C—C corporation; or S—S corporation)
<ul style="list-style-type: none"> <li>• Partnership</li> </ul>	Partnership
<ul style="list-style-type: none"> <li>• Trust/estate</li> </ul>	Trust/estate

### Line 4, Exemptions

If you are exempt from backup withholding and/or FATCA reporting, enter in the appropriate space on 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(c)(3), any IRA, or a custodial account under section 408(a)(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 fund operated by a bank under section 584(c)

11—A financial institution

12—A not-for-profit trust in the investment community as a nominee or custodian

13—A trust exempt from tax under section 664 or described in section 6447

The following chart shows types of payments that may be exempt from backup withholding. This 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. If corporations must not enter an exempt payee code because they are exempt only for sales of unissued securities acquired prior to 2012.
Broker exchange transactions and patronage dividends	Exempt payees 1 through 4
Payments over \$600 required to be reported and direct sales over \$5,000 <sup>1</sup>	Generally, exempt payees 1 through 5 <sup>2</sup>
Payments made in settlement of payment owed or failed party network transaction	Exempt payees 1 through 4

<sup>1</sup> See Form 1099-MISC, Miscellaneous Income, and its instructions.

<sup>2</sup> However, the following payments made to a corporation and reportable on Form 1099-DIV are not exempt from backup withholding: medical and health care payments, attorney's fees, gross proceeds paid to an attorney reportable under section 4045(a), 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 established 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(c) or any individual retirement plan as defined in section 7701(a)(97)
- 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 series expanded affiliated group as a corporation described in Regulations section 1.1472-1(c)(1)(ii)
- F—A dealer in securities, commodities, or derivatives financial instruments (including national principal contracts, futures, forwards, and options) that is regulated 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 as a trust during the tax year under the Investment Company Act of 1940
- I—A common trust fund as defined in section 684(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 408(a) plan or section 457(a) 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 return. If this address differs from the one the requester already has on file, write NEW at the top. If a new address is provided, there is still a chance the old address will be used until the payor changes your address in their records.

**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 ESN, your TIN is your IRS previous taxpayer identification number (if any). Enter it in the exact previous 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 ESN or EIN.

If you are a single-member LLC that is disregarded as an entity separate from its owner, enter the owner's ESN 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 *What Name and Number To Give the Requester*, later, for further clarification of name and TIN considerations.

**How to get a TIN.** If you do not have a TIN, apply for one immediately. To apply for an ESN, get Form SS-5, Application for a Social Security Card, from your local SSA office or get this form online at [www.SSA.gov](http://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](http://www.irs.gov/Businesses) and covering an employer identification number (and under starting a business. Go to [www.irs.gov/Form](http://www.irs.gov/Form) to view, download, or print Form W-7 and/or Form SS-4. Or, you can go to [www.irs.gov/OrderForm](http://www.irs.gov/OrderForm) to place an order and have Form W-7 and/or SS-4 mailed to you within 10 business days.

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 item 1, 4, or 5 box or indicates 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 broker exchange accounts opened before 1984 and broker accounts considered active during 1982.** You must give your correct TIN, but you do not have to sign the certification.

2. **Interest, dividend, broker, and broker exchange accounts opened after 1982 and broker accounts considered inactive during 1982.** 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. **Most estate investments.** 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 rent, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to an employee for services, payments made in settlement of payment card and third party network transactions, payments to certain fishing boat crew members and fishermen, and game proceeds paid to winners (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), ABLE accounts (under section 529A), 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 EIN of:
1. Individual	The individual
2. Two or more individuals joint account other than an account established by an FF	The listed owner of the account or, if certified funds, the first individual on the account <sup>1</sup>
3. Trust or estate U.S. person (joint account established by an FF)	Trust name or the account
4. Deductible account of a minor (Uniform Gift to Minors Act)	The minor <sup>2</sup>
5. a. The usual revocable savings trust (grantor is also trustee) b. Non-exempt trust account that is not a legal or valid trust under state law	The grantor-trustee <sup>3</sup> and estate name <sup>4</sup>
6. Sole proprietorship or disregarded entity owned by an individual	The owner <sup>5</sup>
7. Elected trust filing under Optional Form 1099 Filing Method 1 (see Regulations section 1.591-4(d)(2)(ii) (F)	The grantor <sup>6</sup>

For this type of account:	Give name and EIN of:
8. Disregarded entity not owned by an individual	The owner
9. A valid trust, estate, or pension trust	Legal entity <sup>4</sup>
10. Depositor or LLC holding securities shares on Form 8832 or Form 2282	The corporation
11. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
12. Partnership or multi-member LLC	The partnership
13. A trust or registered trustee	The trust or trustee

For this type of account:	Give name and EIN of:
14. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or person) that receives agricultural program payments	The public entity
15. Elected trust filing under the Form 1041 Filing Method or the Optional Form 1041 Filing Method 2 (see Regulations section 1.591-4(d)(2)(ii) (F)	The trust

<sup>1</sup> List 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.

<sup>2</sup> Circle the minor's name and furnish the minor's SSN.

<sup>3</sup> You must show your individual name and you may also enter your business or DBA name on the "Business or 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.

<sup>4</sup> List 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, earlier.

<sup>5</sup> Note: The 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 EIN 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 directly 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 1-800-828-4452 or submit Form 14039.

For more information, see Pub. 5027, Identity Theft Information for Taxpayers.

Victims of identity theft who are experiencing economic harm or a systemic 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 1-800-828-4555.

Protect yourself from suspicious emails or phishing schemes. Phishing is the creation and use of email and websites designed to imitate 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 email. 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](mailto: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 1-800-368-4464. You can forward suspicious emails to the Federal Trade Commission at [sparells.com.gov](http://sparells.com.gov) or report them at [www.ftc.gov/complaint](http://www.ftc.gov/complaint). You can contact the FTC at [www.ftc.gov/identitytheft](http://www.ftc.gov/identitytheft) or 877-IDENTIFY (877-436-4367). If you have been the victim of identity theft, see [www.identitytheft.gov](http://www.identitytheft.gov) and Pub. 5897.

Visit [www.irs.gov/identitytheft](http://www.irs.gov/identitytheft) 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.

# STATE OF COLORADO

**COLORADO LOTTERY DIVISION**  
Department of Revenue

**Headquarters**  
225 N. Main St.  
Pueblo, CO 81003  
(719) 546-8400  
(719) 546-8808 Fax



Jared Polis  
Governor

Michael Hartman  
Executive Director

Tom Seaver  
Lottery Director

## **COLORADO LOTTERY RETAILER APPLICANT FINGERPRINT SERVICES**

Business owners completing applications to become a licensed Colorado Lottery retailer must submit fingerprints to the Colorado Bureau of Investigation (CBI) as a part of the background check process.

"Pursuant to the Privacy Act of 1974, Title 5, United States Code 552a, and Title 28, Code of Federal Regulations, Section 50.12, as an applicant for a license from the Colorado Lottery, you acknowledge that you are submitting your fingerprints to the Colorado Bureau of Investigation as part of the background check process in order to determine your suitability in accordance with Colorado Revised Statute 44-40-107(1).

Should the fingerprint results indicate information that could potentially affect your ability to obtain a Lottery license, you will be contacted, provided the information and afforded the opportunity to complete or challenge the accuracy of the information in the record.

The procedures for obtaining a change, correction or an update of an FBI criminal history record are set forth in 28 CFR 16.30 through 16.34."

Colorado law changed in 2017 to allow third-party vendors to submit applicants' fingerprints electronically to CBI for efficient processing. Effective November 1, 2018 local law enforcement offices will not offer these fingerprinting services, so all Lottery applicants required to submit fingerprints must use IdentoGO, the third-party vendor contracted with CBI or visit one of two Lottery offices to submit fingerprints for their background check.

## **COLORADO LOTTERY LOCATIONS**

Visit one of the following Lottery offices Monday through Friday during established Lottery business hours for fingerprinting.

**Colorado Lottery Headquarters**  
225 N Main Street  
Pueblo, CO 81003

**Colorado Lottery Claims Center**  
720 S. Colorado Blvd. Suite 110A  
Denver, CO 80246

## **IdentoGO ( Statewide):**

Applicants using IdentoGO to have their fingerprints taken and submitted to CBI are required to pre-enroll and schedule an appointment through the following site or by calling IdentoGO if they do not have access to the internet.

IdentoGO <https://www.idento.com/> use service code 25YERC

Phone: (844)539-5539 (toll-free)

IdentoGO FAQs: <https://www.colorado.gov/pacific/cbi/identification-faqs>

Colorado Sites: [https://www.idento.com/uploads/general/CO\\_IdentoGO\\_Site\\_Listing.pdf](https://www.idento.com/uploads/general/CO_IdentoGO_Site_Listing.pdf)

Fingerprint fee: \$49.50

If you have any questions, please email us at [cmesupport@state.co.us](mailto:cmesupport@state.co.us)



## Colorado Location Listing

<u>Location Name</u>	<u>Go-Live Date</u>
Akron CO - Main Ave	9/27/18
Alamosa CO - Gramer Rd	9/24/18
Aspen CO - E Main St	6/12/19
Aurora CO -	11/1/18
Battlement Mesa CO - Arroyo Dr	9/28/18
Breckenridge CO - N Park Ave	10/28/18
Burlington CO - 5th St	9/28/18
Calhan CO - Colorado Ave	9/27/18
Canon City CO - S 5th St	TBD
Colorado Springs CO - Garden of the Gods	TBD
Cortez CO	9/23/19
Craig CO - W First St	9/28/18
Del Norte CO - 6th St	9/27/18
Delta CO - Meeker St	12/20/18
Durango CO	9/23/19
Fort Collins CO - E Harmony Dr	TBD
Fort Morgan CO - Berlow Rd	9/28/18
Glendale CO - S Cherry St	9/24/18
Glenwood Springs CO	11/29/18
Granby CO - Jasper Ave	9/27/18
Grand Junction CO - Grand Ave	9/24/18
Greeley CO	11/30/18
Greenwood Village CO - S Dallas	9/24/18
Gunnison CO - Spruce St	7/11/19
Holyoke CO - E Denver	9/28/18
Lafayette, CO	4/12/19
La Junta CO - Colorado Ave	9/24/18
Lakewood CO - Teller St	9/17/18
Lamar CO - E Pomeroy St	9/28/18
Limon CO - 2nd St	TBD
Longmont CO - Ken Pratt Blvd	6/28/19
Loveland CO - N Gerfield Ave	TBD
Montrose CO	3/13/19
Pueblo CO - West D St	9/24/18
Nucleo CO	3/18/19
Rangely CO - E main St	9/28/18
Salida CO - E Beckett St	TBD
Springfield CO - Main St	9/27/18
Sterling CO - Main St	9/28/18



## DEAR APPLICANT:

As you are probably aware, in 1990 the Federal government passed the Americans With Disabilities Act (ADA) which, among other things, requires businesses to make its establishments accessible to persons with disabilities. In January 1992, the section of the ADA that pertains to your business became effective.

In order to comply with this Federal law, the Colorado Lottery Commission passed Rule 2 which states all Lottery retailers must meet ADA requirements as they pertain to the purchase of Lottery products. Because of the sweeping impact of the ADA, your business has most likely been working to assure ADA compliance, too. Lottery Commission Rule 2 requires that disabled persons must be able to park, enter your business, purchase Lottery products and exit safely and easily.

The ADA establishes the specific guidelines for businesses to determine accessibility to products by disabled persons. These guidelines, as they apply to the sale of Lottery products, are documented in Lottery Rule 2. A condensed version of the Rule is included in your application packet (10a).

We are committed to make our products accessible to disabled players. We recognize the vast majority of business owners share our commitment to Colorado's disabled population, so while Commission Rule 2 provides for denial or revocation of a license if a retail location is not in compliance, owners will be given ample time to evaluate their business and make any corrections necessary before this type of action would be taken.

We appreciate your cooperation in this important matter and thank you for your continuing support of the Colorado Lottery.

A handwritten signature in black ink, appearing to read "Tom Seaver".

Tom Seaver, Director



10a

## ADA Guidelines

- If you provide a parking area for your customers that is not on a street or highway, and do not share the parking area with any other businesses, the parking area must comply with the parking area requirements under the Federal ADA Act. Those requirements include one van-accessible parking space (must be at least 192" wide) for every 25 spaces, or at least one van-accessible space in an unmarked lot. A vertical parking sign must mark the accessible space.
- The path from a customer's vehicle to your front door must be stable, firm and slip resistant (i.e.: no sand or gravel), and at least 36" wide at all points.
- If there is a curb or stairs to get into your store, there must be a curb cut or ramp built to ADA specifications for disabled customer access.
- Any overhead objects in the path must be higher than 80" from the ground. Any objects on the ground or walls cannot extend more than 4" into the path and be higher than 27" off the ground.
- If a customer in a wheelchair cannot get into your front door, be sure there is another entrance he or she can use. Post a sign indicating the way to the accessible entrance.
- Your front door needs to be at least 36" wide and have no obstacles blocking the door (i.e.: trash can, newspaper stand, etc.) for easy access.
- Be sure your door threshold is not too high and meets ADA requirements. Also be sure someone with a closed or clenched fist is able to open your door without needing assistance.
- Make sure your door does not close too fast for someone in a wheelchair or with crutches.
- The path to your Lottery sales counter must also be stable, firm and slip-resistant. Be sure to remove insecure or very high floor mats and make certain any carpeting is low-pile and secure at the edges.
- The Lottery sales counter must have at least a 3-foot section that is not more than 36" high and there must be enough space in the sales area for a wheelchair to turn around.