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 for more details and retailer resources.

March 2019

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.

Tom Seaver
Colorado Lottery Director

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 FY18, our retail partners earned a total of $46.1 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, Director

Grow Your Business and Make Colorado More Beautiful, Too!

POWER BALL® MEGA MILLIONS® LUCKY® FOR LIFE LOTTO™ CASH 5™ PICK 3™ SCRATCH™

The Colorado Lottery | *225 N Main Street | Pueblo, CO 81003 | 800.999.2959*
Visit www.coloradolottery.com for more details and retailer resources.

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 it.
- ☐ 2 **Retailer Compensation and Licensing Fees**
  Read and sign it.
- ☐ 3 **Retailer Agreement**
  Read it carefully and sign where indicated.
- ☐ 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, sign 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 **Fingerprinting Instructions**
  Digital fingerprinting can be done at Colorado Lottery offices located at 225 N Main St in Pueblo or 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. **Service Code 25YRRG**
- ☐ 10 **ADA Requirements & Guidelines**
  Read it carefully and be sure to comply.

1 Retailer Licensing Application

FOR LOTTERY USE ONLY:	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)
   Headquarters 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) _____

2 Retailer Compensation / 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 retailers sales goal)
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

Retailer fees are the costs 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

Retailer is responsible for any electrical wiring costs that may be required for equipment installation.

$5 COMMUNICATIONS FEE

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

BONDING FEE

Colorado Lottery Rule requires that all retailers be bonded. Applicants 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. State Bonding fees will be adjusted based on the number of outlets per headquarter account.

Name: _____
(Print)

Signature: _____ Date: _____
(Signature)

3 Retailer Agreement

1. The Applicant for a Lottery Retailer's License agrees to be bound by and comply with the law, rules, regulations and instructions promulgated heretofore and hereafter by the Colorado Lottery if such a License is issued.

2. The Applicant for a Lottery Retailer's License understands and consents to a background investigation to include criminal, personal credit and state sales tax compliance, and waives any rights or causes of action against the Colorado Lottery or other individual or agency disclosing or releasing said information to the Colorado Lottery.

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 will 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.

5. The Applicant agrees to meet minimum sales requirements as specified by the Lottery. Failure to do so may result in revocation of License.

6. Prize Payout: All retailers are required to pay winning Scratch and Jackpot games (Powerball, Mega Millions, Lucky for Life, Lotto, Cash 5, Pick 3) tickets up to and including $150. Retailers may choose to accept prize-winning tickets up to $599 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 tickets sales in accordance with the instructions of the Colorado Lottery.

8. Un-activated packs of Scratch tickets should be moved into a reasonably secure storage area immediately upon receipt. All packs, once activated, are the financial responsibility of the Applicant, **including those that are stolen.** The Applicant shall report ticket theft or loss to the Colorado Lottery and local authorities.

9. The Applicant agrees to maintain accurate records of Lottery ticket sales in conformity with the rules, regulations and instructions promulgated or issued heretofore and hereafter by the Colorado Lottery.

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.

12. It is agreed by the Applicant that he/she shall hold the Colorado Lottery harmless from any liability arising in conjunction with 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/or collections costs.
    - The Applicant is aware that their Lottery terminal will be interrupted by the Lottery for any non-payment of funds, License expiration or Rule infraction listed herein.

14. It is understood and agreed by the Applicant that the License issued is 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 this location.

15. It is understood and agreed by the Applicant that after the License expires he/she shall not misrepresent themselves as a Lottery Retailer unless a Renewal License is granted.

16. The Lottery reserves the right to remove any Lottery terminal(s) if a retailer fails to comply with any condition set forth in this agreement, or in Lottery rules, regulations and policies.

17. All Lottery terminals, signage and ticket dispensers are the property of Colorado Lottery or the "online" vendor, and the Lottery reserves the right to remove Lottery equipment at any time at the Lottery Director's discretion.

WARNING

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, not notwithstanding the provisions of the Colorado Revised Statutes 1973, as amended, section 44-40-107(4)(c);
- 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, notwithstanding the provisions of section 44-40-107(4)(e), in the community which he resides;
- A person who has been convicted of a crime involving fraud or misrepresentation, notwithstanding the provisions of section 44-40-107(5)(a). The penalties for making false statements or employing ineligible persons under 44-40-107(2)(a) & (b) are License suspension, revocation, or appropriate criminal charges.

I HAVE READ AND UNDERSTAND THE ABOVE INFORMATION CONCERNING THIS APPLICATION FOR RETAILER LICENSE.

Name: _____
(Print)

Signature: _____ Date: _____
(Signature)

4 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 _____

5 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, ZIP Code)

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)

5 Individual History

1. BUSINESS NAME: _____

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

☐ Mr. ☐ Mrs./Ms.

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(Street, City, State, ZIP Code)

4. EMAIL: _____

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☐ Stockholder (10% or more) % of Ownership: _____

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(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
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Name: _____
(Print)

Signature: _____ Date: _____
(Signature)

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3. HOME ADDRESS: _____
(Street, City, State, ZIP Code)

4. EMAIL: _____

5. DATE OF BIRTH: _____ SS# or ITIN#: _____

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☐ 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#: _____

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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)

6

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 Lottey 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 landloard 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 circuit 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.

7

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: _____

Form **W-9**
(Rev. November 2017)
Department of the Treasury
Internal Revenue Service

Request for Taxpayer Identification Number and Certification

▶ **Go to *www.irs.gov/FormW9* for instructions and the latest information.**

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

Print or type. See **Specific Instructions** on page 3.

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

2 Business name/disregarded entity name, if different from above

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

☐ Individual/sole proprietor or single-member LLC ☐ C Corporation ☐ S Corporation ☐ Partnership ☐ Trust/estate

☐ Limited liability company. Enter the tax classification (C=C corporation, S=S 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 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):

Exempt payee code (if any) _____

Exemption from FATCA reporting code (if any) _____

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

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

Requester's name and address (optional)

6 City, state, and ZIP code

7 List account number(s) here (optional)

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the 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.

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

Social security number

			–			–				

or

Employer identification number

		–							

Part II Certification

Under penalties of perjury, I certify that:

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

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

Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following.

- Form 1099-INT (interest earned or paid)
- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)
- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding, *later.*

By signing the filled-out form, you:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),

2. Certify that you are not subject to backup withholding, or

3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income, and

4. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct. See *What is FATCA reporting,* 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 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 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 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 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 1983 only).

Certain payees 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.

Also see *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 *Exemption 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.

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 (other than an account maintained by a foreign financial institution (FFI)), list first, and then circle, the name of the person or entity whose number 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.

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 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 a(n) . . .	THEN check the box for . . .
• Corporation	Corporation
• Individual • Sole proprietorship, or • Single-member limited liability company (LLC) owned by an individual and disregarded for U.S. federal tax purposes.	Individual/sole proprietor or single-member LLC
• LLC treated as a partnership for U.S. federal tax purposes, • LLC that has filed Form 8832 or 2553 to be taxed as a corporation, or • 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.	Limited liability company and enter the appropriate tax classification. (P= Partnership; C= C corporation; or S= S corporation)
• Partnership	Partnership
• Trust/estate	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(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. 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 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.

If you are a single-member LLC that is disregarded as an entity separate from its owner, 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 *What Name and Number To Give the Requester,* later, 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. Go to *www.irs.gov/Forms* to view, download, or print Form W-7 and/or Form SS-4. Or, you can go to *www.irs.gov/OrderForms* 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 below 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 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), 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 SSN of:
1. Individual	The individual
2. Two or more individuals (joint account) other than an account maintained by an FFI	The actual owner of the account or, if combined funds, the first individual on the account[1]
3. Two or more U.S. persons (joint account maintained by an FFI)	Each holder of the account
4. Custodial account of a minor (Uniform Gift to Minors Act)	The minor[2]
5. 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]
6. Sole proprietorship or disregarded entity owned by an individual	The owner[3]
7. 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:**
8. Disregarded entity not owned by an individual	The owner
9. A valid trust, estate, or pension trust	Legal entity[4]
10. Corporation or LLC electing corporate status on Form 8832 or Form 2553	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 broker or registered nominee	The broker or nominee
14. 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
15. 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

[1] 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.

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

[3] You 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.

[4] 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.

***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 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 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 1-800-829-4059.

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 report them at *www.ftc.gov/complaint.* You can contact the FTC at *www.ftc.gov/idtheft* or 877-IDTHEFT (877-438-4338). If you have been the victim of identity theft, see *www.IdentityTheft.gov* and Pub. 5027.

Visit *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) 546-2400
(719) 546-5208 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://uenroll.identogo.com/ use service code **25YRRG**
Phone: (844)539-5539 (toll-free)
IdentoGO FAQs: https://www.colorado.gov/pacific/cbi/identification-faqs
Colorado Sites: https://www.identogo.com/uploads/general/CO_IdentoGO_Site_Listing.pdf
Fingerprint fee: $49.50

If you have any questions, please email us at consumersupport@state.co.us

IdentoGO®
By IDEMIA

Colorado Location Listing

City, State	Street Address	Go-Live Date
Akron CO	245 Main Ave	**9/27/18**
Alamosa CO	6750 Cramer Rd	**9/24/18**
Aspen CO	E Main St	**Temporarily closed**
Aurora CO	1450 S Havana St, Suite 718	**11/1/18**
Battlement Mesa CO	398 Arroyo Dr	**9/28/18**
Breckenridge CO	501 N Park Ave	**10/26/18**
Burlington CO	209 5th St	**9/25/18**
Calhan CO	556 Colorado Ave	**9/27/18**
Canon City CO	S 5th St	**TBD**
Colorado Springs CO	1045 Garden of the Gods, Suite O	**12/4/18**
Cortez CO		**TBD**
Craig CO	800 W First St	**9/26/18**
Del Norte CO	1015 6th St	**9/27/18**
Delta CO	104 Meeker St	**12/20/18**
Durango CO		**TBD**
Fort Collins CO	E Harmony Dr	**TBD**
Fort Morgan CO	920 Barlow Rd	**9/28/18**
Glendale CO	S Cherry St	**9/24/18**
Glenwood Springs CO	101 W 8th St	**11/29/18**
Granby CO	Jasper Ave	**9/27/18**
Grand Junction CO	2801 Grand Ave	**9/24/18**
Greeley CO	315 N 11th Ave, Bldg B	**11/30/18**
Greenwood Village CO	6050 S Quebec St, Suite 100	**9/24/18**
Gunnison CO	Spruce St	**Temporarily closed**
Holyoke CO	127 E Denver St	**9/28/18**
La Junta CO	1802 Colorado Ave	**9/24/18**
Lakewood CO	355 S Teller St, Suite 200	**9/17/18**
Lamar CO	102 E Parmenter St	**9/28/18**
Limon CO	940 2nd St	**9/26/18**
Longmont CO	Ken Pratt Blvd	**TBD**
Loveland CO	N Garfield Ave	**TBD**
Montrose CO	1200 N Grand Ave	**3/13/19**
Pueblo CO	126 West D St, Suite 105	**9/24/18**
Nucla CO	27700 DD Rd	**3/15/19**
Rangely CO	209 E Main St	**9/25/18**
Salida CO	E Sackett St	**Temporarily closed**
Springfield CO	741 Main St, Suite 3	**9/27/18**
Sterling CO	120 Main St	**9/25/18**
Steamboat Springs, CO	840 Yampa St	**3/18/19**
Telluride CO	W Pacific Ave	**Temporarily closed**
Trinidad CO	160 E First St	**9/25/18**
Walsenburg CO	201 E 5th St	**9/26/18**
Wheat Ridge CO	4980 S Kipling St, A4	**9/24/18**
Yuma CO	910 S Main St	**2/13/19**

10

ADA Requirements

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.

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.