This letter serves to announce our new State-Wide Community Wildfire Protection Plan Grant Program for Texas A&M Forest Service (TFS). The purpose of this grant program is to encourage the development of community wide protection plans and mitigation projects for fuels reduction. These funds are being provided through a grant from the U.S. Forest Service and is subject to the provisions contained in 2 CFR 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (www.ecfr.gov/).

Planning for wildfires must take place long before a community is threatened. Once a wildfire starts, the only option available to firefighters is to attempt to suppress the fire before it reaches a community. A Community Wildfire Protection Plan (CWPP) is unique in that it empowers communities to share the responsibility of determining the best strategies for protecting a community and allows communities to make informed choices to decrease the hazards around them.

Eligible CWPP grant applicants are local county or community governments in the State of Texas who have been identified by TFS for funding based on the intent to develop a new CWPP or update an existing CWPP. Private or non-profit organizations are not eligible for grant funds.

There are two stages to the application process. First, an applicant should complete the application and submit it to:

Texas A&M Forest Service
Mitigation & Prevention Office
Attn. CWPP Coordinator
2127 S. First Street
Lufkin, TX 75901

Second, the application is reviewed by the grant committee for eligibility, feasibility, cost-effectiveness as well as completeness before returning their decision. Results will be returned within thirty days of receipt of the application.

Applications will be accepted until all funds have been awarded. Early applications are encouraged. Priority will be given to applications received prior to October 15, 2015. The grant cost period will begin upon the effective date of Subrecipient Agreement and end on the termination date specified in the Subrecipient Agreement.

If you have any questions about the guideline, application, or the amount of funds available please do not hesitate to contact me at (979) 450-2578.

Regards,

Melanie Spradling
Wildland Urban Interface Specialist III
Texas A&M Forest Service
Cell: 979-450-2578
Fax: 936-639-8110
State-Wide Community Wildfire Protection Plan Grant Program

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Components of a CWPP

A Community Wildfire Protection Plan (CWPP) is a written document that identifies the steps a community will take to reduce its risk of damage from a wildland fire. The plan addresses the community’s wildland fire response capability, as well as the protection of homes and structures within the community. The plan also should identify and prioritize areas of private, state and federal land where fuels treatment projects are necessary to reduce wildland fire threats to the community and its infrastructure. Finally, the CWPP should include details about how steps outlined in the plan will be implemented.

- Community Wildfire Protection Plans are generally developed by local government with assistance from state and federal agencies and other interested partners.
- Plans can take a variety of forms and may be as simple or complex as necessary, based on the specific needs and desires of the local community or county.
- While plans do not need to be overly complicated they should effectively address values-at-risk, priorities for action and local forest and range conditions.
- The minimum requirements for a CWPP are:
  - Collaboration. A CWPP must be collaboratively developed. Local officials and state officials must meaningfully involve federal agencies that manage land in the vicinity of the community and other interested parties, particularly non-governmental stakeholders.
  - Prioritized Fuel Reduction. A CWPP must identify and prioritize areas for hazardous fuel reduction treatments on both federal and non-federal land and recommend the types and methods of treatment that, if completed, would reduce the risk to the community.
  - Treatment of Structural Ignitability. A CWPP must recommend measures that homeowners and communities can take to reduce the ignitability of structures throughout the area addressed by the plan.
- The Healthy Forests Restoration Act (HFRA) requires that three entities mutually agree to the final contents of a CWPP:
  - The applicable local government (e.g. counties or cities);
  - The local fire department(s); and
  - The state agency responsible for forest management.
- Benefits to the community include:
  - The opportunity to establish a locally appropriate definition and boundary for the Wildland Urban Interface (WUI).
  - The requirement for federal agencies, when planning fuel reduction projects, to give priority to projects that provide for the protection of at-risk-communities or watersheds, or that implement recommendations in a CWPP.
  - Expedited National Environmental Policy Act (NEPA) procedures for federal agencies implementing fuel reduction projects identified in a CWPP. (If a federal agency is planning a fuels reduction project to implement a recommendation in a CWPP that lies within the WUI and is located no further than 1 ½ miles from the community boundary, the federal agency does not need to analyze any other alternatives under NEPA.)
- When allocating federal funds for fuel reduction projects on nonfederal lands, federal and state agencies should, to the maximum extent applicable, give priority to communities that have adopted Community Wildfire Protection Plans.
State-Wide Community Wildfire Protection Plan Grant Program

State-Wide Community Wildfire Protection Plan Grant Program General Guidelines

1. Grant funds will be awarded to local county or community governments using a competitive matrix, based on the intent to develop a new CWPP or update an existing CWPP and Communities at Risk as determined by the Texas Wildfire Risk Assessment Portal (TxWRAP).

2. Minimum requirements of a CWPP:
   a. Form a core working group made up of representatives from the appropriate local governments, local fire authority, law enforcement, federal partners and the Texas A&M Forest Service.
   b. Contact and involve other land management agencies as appropriate.
   c. Contact and encourage active involvement in plan development from a broad range of interested organizations and stakeholders.
   d. Work with partners to establish a baseline map of the community that defines the community’s WUI and displays inhabited areas at risk, forested area that contain critical human infrastructure and forested areas at risk for large-scale fire disturbance.
   e. Work with partners to develop community risk assessments for each Community at Risk, as identified by TxWRAP, that considers fuel hazards; risk of wildfire occurrence; homes, businesses, and essential infrastructure at risk; other community values at risk; and local preparedness capability (TFS shall provide assessment templates).
   f. Rate the level of risk for each factor and incorporate into the base map as appropriate.
   g. Use the base map and community risk assessments to facilitate at least three collaborative community discussions that lead to the identification of local priorities for fuel treatment, reducing structure ignitability, and other issues of interest such as improving fire response capability.
   h. Clearly indicate whether priority projects are directly related to protection of communities and essential infrastructure or to reducing wildfire risk to other community values.
   i. Develop a detailed implementation strategy to accompany the CWPP Include a tracking sheet of all stakeholder meetings, which indicates date and topic of the meeting.
   j. Finalize the CWPP and communicate the results to the community and key partners.


3. Major categories of expenditures in the development of a Community Wildfire Protection Plan:
   a. Contracting services
   b. Personnel time
   c. GIS software and hardware

4. Funding limits per application are:
   a. The maximum grant to develop a CWPP is $10,000. A limit of one per application per community will be considered. Texas A&M Forest Service reserves the right to amend project funding limits.
   b. This is a 100% federal pass-through grant. No match is required.
   c. No advance payments will be issued. Grant funds will only be distributed when CWPP is finalized and approved by the TFS grant committee.
   d. Expenses prior to the approval date will not be eligible for this grant. A final report must be submitted detailing the accomplishments of the project and any publicity that was generated. One hard copy of the CWPP and an electronic version of the completed CWPP must be submitted.
with the final report. Additionally, one copy each of all supporting documentation with the final report is required. Upon approval of completed CWPP, applicant will submit an invoice to TFS for the funding amount authorized in the Subrecipient Agreement.

e. Applicants must certify eligibility to receive federal funds and must comply with applicable federal regulations.

5. Applications will be accepted by Texas A&M Forest Service until all funding is awarded. Applications will be processed in order of receipt.

PLEASE RETURN YOUR APPLICATION TO:
Texas A&M Forest Service
Mitigation & Prevention Office
Attn: CWPP Coordinator
2127 S. First Street
Lufkin, TX  75901
State-Wide Community Wildfire Protection Plan Grant Program

Section I. -- Program Overview

1.1 High Risk Wildland Urban Interface Areas
The Texas A&M Forest Service (TFS) has identified wildland urban interface communities with high wildfire risks, that are highly motivated, may be considered for a Community Wildfire Protection Plan (CWPP). TFS will choose communities where the most hazard reduction and public outreach is likely to occur by partners and stakeholders. TFS will provide grant opportunities to high-risk areas to use as seed funding for the preparation of a CWPP.

1.2 Purpose and Administration
TFS, in cooperation with federal partners, has established the State-Wide CWPP Grant Program. The funds are available to designated communities with the major objective as follows:

- Develop Community Wildfire Protection Plan

This grant program is funded by the United States Department of Agriculture Forest Service and is administered by Texas A&M Forest Service, an agency of the State of Texas, a member of the Texas A&M University System, headquartered in College Station, Texas.

Section II. -- Program Eligibility

2.1 Eligible Organizations
Local county or community governments identified by TFS to be eligible for funding based on the intent to develop a new CWPP or update an existing CWPP. Applicants must have a Federal Employer Identification Number (EIN) and a Data Universal Numbering System (DUNS) number. If an applicant does not have a DUNS number, it may register for one at www.dnb.com.

2.2 Project Eligibility
Preparation of a CWPP includes:

- Local wildfire risk assessments.
- Creation of community wildfire awareness programs and empowerment for homeowners and stakeholders.
- The formation of new Firewise communities.
- Support and encourage innovative ideas pertaining to wildland urban interface issues.
- Evaluate programs at the local level to increase mitigation options throughout the state.
- Provide leadership for encouragement of stand-alone programs.
- Encourage opportunities for local communities within the county to address wildland urban interface issues.

2.3 Desired Results
In the State-Wide CWPP Grant Program, it is estimated that county and community personnel, or their designee, will develop a CWPP that will effect community changes in the following ways:

- The preparation of a CWPP.
- Local wildfire risk assessments, in conjunction with the responsible fire departments.
- GIS-based project area maps.
- Encourage homeowners to have some type of defensible space clearing on their property.
- Heighten public awareness of wildland urban interface issues and concerns.
Section III. --Administrative Requirements

3.1 Authority
All awardees must provide an official resolution, passed by the organization's governing body, which sanctions the project, commits the organization to the project, and designates an individual who will execute the agreements.

*Note:* Authorizing resolutions do not need to be submitted until project funding is approved, but they must be on file before grant payments will be made.

3.2 Grant Requirements
The maximum grant to develop a CWPP project is $10,000. A limit of one application per county or community will be considered. TFS reserves the right to amend grant funding limits.

3.3 Cost Period
The grant cost period will begin upon effective date of Subrecipient Agreement and end on the termination date specified in the Subrecipient Agreement. Grant payments will be made upon receipt and approval of required documentation and upon passing TFS review of CWPP (see Section V -- Project Inspection & Reporting).

3.4 Grant Expenditures
Grant funds may be used to contract with a qualified professional with experience in the preparation of an approved CWPP. All purchases of materials involving grant funds must conform to the General Procurement Standards in 2 CFR 200.318. Minority-owned, women-owned, and other Historically Underutilized Businesses (HUB) should be encouraged to bid on these jobs. Contracted services must be awarded based on competitive proposals.

If an application is selected for award funding under the State-Wide CWPP Grant Program, the awardee must ensure that it complies with all applicable local, state, and federal laws. Awardees who receive more than $500,000 annually from federal sources will be required to submit a copy of their OMB A-133 audit to TFS.

3.5 Prior Approval
The work eligible for payment under the grant may not begin before the effective date of the Subrecipient Agreement.

3.6 Record Keeping
Awardees must maintain project records in accordance with all applicable federal regulations as specified in 2 CFR 200. This includes the following: (1) records shall comply with generally accepted accounting principles (2 CFR 200.49 and 2 CFR 200.302) and (2) records will be maintained for three years following payment (2 CFR 200.333).

Section IV. --Procedures for Awarding Grants

4.1 Allocation of Funds
Grant funds will be awarded using a competitive matrix, based on the intent to develop a new CWPP or update an existing CWPP and Communities at Risk as determined by the Texas Wildfire Risk Assessment Portal (TxWRAP).

4.2 Funding Evaluation Criteria
Minimum requirements of a CWPP:

- Form a core working group made up of representatives from the appropriate local governments, local
fire authority, law enforcement, federal partners and the Texas A&M Forest Service.

- Contact and involve other land management agencies as appropriate.
- Contact and encourage active involvement in plan development from a broad range of interested organizations and stakeholders.
- Work with partners to establish a baseline map of the community that defines the community’s WUI and displays inhabited areas at risk, forested area that contain critical human infrastructure and forested areas at risk for large-scale fire disturbance.
- Work with partners to develop community risk assessments for each Community at Risk, as identified by TxWRAP, that considers fuel hazards; risk of wildfire occurrence; homes, businesses, and essential infrastructure at risk; other community values at risk; and local preparedness capability (TFS shall provide assessment templates).
- Rate the level of risk for each factor and incorporate into the base map as appropriate.
- Use the base map and community risk assessments to facilitate at least three collaborative community discussions that lead to the identification of local priorities for fuel treatment, reducing structure ignitability, and other issues of interest such as improving fire response capability.
- Clearly indicate whether priority projects are directly related to protection of communities and essential infrastructure or to reducing wildfire risk to other community values.
- Develop a detailed implementation strategy to accompany the CWPP Include a tracking sheet of all stakeholder meetings, which indicates date and topic of the meeting.
- Finalize the CWPP and communicate the results to the community and key partners.


4.3 CWPP Review Team
A grant application review team will consist of TFS members of the Mitigation & Prevention Department.

4.4 Execution of Agreements and Documents
Awardees will enter into a contract, called a Subrecipient Agreement, with TFS. The Subrecipient Agreement will stipulate what is to be accomplished with the grant, payment terms for the grant, methods used to determine compliance, and any penalties or actions which TFS will take in the event of noncompliance. The Subrecipient Agreement will also release TFS from any liability associated with contractors, volunteers or city employees working on this project.

Along with the Subrecipient Agreement, each awardee must sign certain “Assurances and Certifications,” which describe the federal laws with which it must comply. It will be the responsibility of the awardee to ensure that all documents are fully executed within a period of 30 days after receiving the Subrecipient Agreement packet. Failure to comply with this schedule may result in the grant offer being withdrawn.

4.5 Timetable
All applications for assistance under this program must be sent to:
Texas A&M Forest Service
Mitigation & Prevention Office
Attn: CWPP Coordinator
2127 S. First Street
Lufkin, TX  75901

Awardees must return the signed Subrecipient Agreement packet within 30 days of receipt. All grant awards are contingent upon receipt of federal funding by TFS.
Section V. --Project Inspection, Reporting, & Payment

5.1 Review of Projects
TFS reserves the right to inspect projects at any time. All educational materials developed (signage or written) must be reviewed by a TFS Mitigation and Prevention representative prior to final printing to insure that TFS CWPP standards are met. Project work not in compliance must be corrected before the work will be approved and grant payments will be made.

5.2 Project Completion Report
Within 30 days of project completion, the awardee must send the CWPP Coordinator at Texas A&M Forest Service an accounting of the project that includes one hard copy and one electronic copy of the following:

(1) The final report detailing the accomplishments of the project and any publicity it generated.
(2) The completed CWPP.
(3) All supporting documentation (documents, materials, and brochures).

5.3 Payments to Grant Awardees
Awardee must submit invoice for payment directly to the CWPP Coordinator, Texas A&M Forest Service. No payments will be made until all proper paperwork has been received and approved by the State-Wide Community Wildfire Protection Plan Grant Program application review team.

Section VI. --Application Instructions

6.1 Application Period
The closing date for CWPP grant applications is when all funds have been awarded. All projects will have the same reporting requirements. Priority will be given to applications received prior to October 15, 2015.

Applications should be mailed to:
Texas A&M Forest Service
Mitigation & Prevention Office
Attn: CWPP Coordinator
2127 S. First Street
Lufkin, TX 75901
State-Wide Community Wildfire Protection Plan Grant Program Application

Texas A&M Forest Service

Applications will be accepted by Texas A&M Forest Service until all funding is awarded. Applications will be processed in order of receipt.

APPLICANT:
DATE: ____________________________ NAME: ____________________________________
ADDRESS: __________________________________________ CITY: _______________________
ZIP CODE + 4: ___________ COUNTY: ______________
FEDERAL EMPLOYER IDENTIFICATION NUMBER (FEI#): 73-_________________________
FEDERAL TAX ID NUMBER: __________________________ DUNS Number: ___________________
CONTACT PERSON: ______________________________ PHONE: _______________________

PROJECT FUNDING:
The maximum grant to develop a CWPP is $10,000. A limit of one application per county will be considered. Texas A&M Forest Service reserves the right to amended project funding limits.

CERTIFICATION:
To the best of my knowledge and belief, data in this application are true and correct, the documents have been duly authorized by the governing body of the applicant, and the applicant will comply with the attached assurances.
Signature and Title of Certified Representative

COUNTY INFORMATION
A. List the name, address, and phone number of person(s) who can be contacted concerning the State-Wide Community Wildfire Protection Plan Grant Program.
County Judge: __________________________________________
County Clerk: __________________________________________
County Emergency Management Coordinator: __________________________
Other Person(s): __________________________________________
B. List the name, address, and phone number of person(s) responsible for the following:
Filing Grant Forms: __________________________________________
Handling Invoices: __________________________________________

Signature from City/ County Official: ____________________________
(County Judge, Mayor, City Manager, Fire Chief)
This certification is required by the regulations implementing Sections 5151-5160, of the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D; 41 U.S.C. 701 et seq.), 7 CFR Part 3017, Subpart F, Section 3017.600, Purpose. The January 31, 1989, regulations were amended and published as Part II of the MAY 25, 1990, Federal Register (pages 21681-21691). Copies of the regulations may be obtained by contacting the Department of Agriculture agency offering the grant.

(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS ON REVERSE)

Alternative I

A. The grantee certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about --

   (1) The dangers of drug abuse in the workplace;

   (2) The grantee's policy of maintaining a drug-free workplace;

   (3) Any available drug counseling, rehabilitation, and employee assistance programs; and

   (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --

   (1) Abide by the terms of the statement; and

   (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notify the agency in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position, title, to every grant officer on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).
B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, State, zip code)

Check [ ] if there are workplaces on file that are not identified here.

Organization Name  Award Number or Project Name

Name  and Title of Authorized Representative

Signature  Date

Instructions for Certification

1. By signing and submitting this form, the grantee is providing the certification set out on pages 1 and 2.

2. The certification set out on pages 1 and 2 is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

3. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.

4. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).

5. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph three).

6. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

   "Controlled substance" means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

   "Conviction" means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

   "Criminal drug statute" means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

   "Employee" means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) all "direct charge" employees; (ii) all "indirect charge" employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if sued to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).
ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).


14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, “Audits of States, Local Governments, and Non-Profit Organizations.”

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

* SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL

* TITLE

* APPLICANT ORGANIZATION

* DATE SUBMITTED
This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 7 CFR Part 3017, Section 3017.510, Participants’ responsibilities. The regulations were published as Part IV of the January 30, 1989, Federal Register (pages 4722-4733). Copies of the regulations may be obtained by contacting the Department of Agriculture agency offering the proposed covered transaction.

(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS ON NEXT PAGE)

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or Local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or Local) with commission of any of the offenses enumerated in paragraph (1) (b) of this certification; and

(d) have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or Local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

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<th>PR/Award Number of Project Name</th>
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</table>

Name and Title of Authorized Representative

<table>
<thead>
<tr>
<th>Signature</th>
<th>Date</th>
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INSTRUCTIONS FOR CERTIFICATION

1. By signing and submitting this form, the prospective primary participant is providing the certification set out on the reverse side in accordance with these instructions.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out on this form. The certification or explanation will be considered in connection with the department or agency’s determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in the transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms “covered transaction,” “debarred,” “suspended,” “ineligible,” “lower tier covered transaction,” “participant,” “person,” “primary covered transaction,” “principal,” “proposal,” and “voluntarily excluded,” as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary participant agrees by submitting this form that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this form that it will include the clause title “Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction,” provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
Certification of Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

1. No federal appropriated funds have been paid or will be paid, by, or on behalf of, the undersigned, to any person for influencing, or attempting to influence, an officer or employee of an agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.

2. If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

3. The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants and contracts under grants, loans, and cooperative agreements), and that all subrecipients shall certify and disclose accordingly.

This certification is a material representative of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000, and not more than $100,000, for each such failure.

Date: __________________________  Name of Airport Sponsor

__________________________________
Signature of Authorized Official

__________________________________
Title of Authorized Official
W-9
Request for Taxpayer Identification Number and Certification

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

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

3 Check appropriate box for federal tax classification; check only one of the following seven boxes:
   - Individual/sole proprietor
   - C Corporation
   - S Corporation
   - Partnership
   - Trust/estate
   - Single-member LLC
   - Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) *

Note. For a single-member LLC that is disregarded, do not check LLC; check the appropriate box in the line above for the tax classification of the single-member owner.

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)

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

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

6 City, state, and ZIP code

7 List account number(s) here (optional)

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

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

Social security number

Employer identification number

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

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

Sign Here
Signature of U.S. person *

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

Future developments. Information about developments affecting Form W-9 (such as legislation enacted after we release it) is at www.irs.gov/w9.

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

- Form 1099-INT (interest earned or paid)
- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)

- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

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

If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding? on page 2.

By signing the filled-out form, you:
1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners’ share of effectively connected income, and
4. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct. See What is FATCA reporting? on page 2 for further information.
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 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 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, generally, the U.S. owner of the disregarded entity and not the entity;
• In the case of a grantor trust with a U.S. grantor or other U.S. owner, generally, the U.S. grantor or other U.S. owner of the grantor trust and not the trust; and
• In the case of a U.S. trust (other than a grantor trust), the U.S. trust (other than a grantor trust) and not the beneficiaries of the trust.

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

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

Backup Withholding

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

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

Payments you receive will be subject to backup withholding if:
1. You do not furnish your TIN to the requester,
2. You do not certify your TIN when required (see the Part II instructions on page 3 for details),
3. The IRS tells the requester that you furnished an incorrect TIN,
4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or
5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

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

Also see Special rules for partnerships above.

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

Updating Your Information

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

Penalties

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

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

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

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

Specific Instructions

Line 1

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

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

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

Note. ITIN applicant: Enter your individual name as it was entered on your Form W-7 application, line 1a. This should also be the same as the name you entered on the Form 1040/1040A/1040EZ on line 1. You may enter your business, trade, or “doing business as” (DBA) name on line 2.

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 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.
Part I. Taxpayer Identification Number (TIN)

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

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN. However, the IRS prefers that you use your SSN. If you are a single-member LLC that is disregarded as an entity separate from its owner (see Limited Liability Company (LLC) on this page), enter the owner’s SSN or EIN, if the owner has one. Do not enter the disregarded entity’s EIN. If the LLC is classified as a corporation or partnership, enter the entity’s EIN.

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

How to get a TIN.

If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local SSA office or get this form online at www.ssa.gov. You may also get this form by calling 1-800-322-1213. 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 and clicking on Employer Identification Number (EIN) under Starting a Business. You can get Forms W-7 and SS-4 from the IRS by visiting IRS.gov or by calling 1-800-TAX-FORM (1-800-829-3676).

If you are asked to complete Form W-9 but do not have a TIN, apply for a TIN and use the “Applying 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 unless you provide your TIN to the requester.

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

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

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

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

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

1. **Interest, dividend, and barter exchange accounts opened before 1984 (including payments to corporations).**
   - The individual
   - The actual owner of the account or, if combined funds, the first individual on the account
   - The minor

2. **Two or more individuals (joint account).**
   - The individual
   - The actual owner of the account or, if combined funds, the first individual on the account
   - The minor

3. **Custodian account of a minor (Uniform Gift to Minors Act).**
   - The grantor-trustee
   - The actual owner

4. **a. The usual revocable savings trust (grantor is also trustee).**
   - The grantor-trustee

5. **b. So-called trust account that is not a legal or valid trust under state law.**
   - The actual owner

6. **Sole proprietorship or disregarded entity owned by an individual.**
   - The individual
   - The actual owner or, if combined funds, the first individual on the account
   - The minor

7. **Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulations section 1.671-4(b)(2)(i)(A)).**
   - The grantor

8. **Disregarded entity not owned by an individual.**
   - The owner
   - The corporation
   - The organization
   - The partnership
   - The broker or nominee
   - The public entity

9. **A valid trust, estate, or pension trust.**
   - Legal entity
   - The corporation

10. **A nonemployee for services.**
    - The grantor

11. **A tax-exempt organization.**
    - The corporation

12. **A broker or registered nominee.**
    - The corporation

13. **Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments.**
    - The corporation

14. **Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulations section 1.671-4(b)(2)(i)(B)).**
    - The trust

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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.