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Request for Proposal (RFP)

RFP Title: *CDC Community Health Video Production*

Issued on: *May 29, 2013*

Proposal Deadline: *June 10, 2013*

Submission Format: *Email to wshawver@fhi360.org*

I. INTRODUCTION & BACKGROUND

The Centers for Disease Control and Prevention's (CDC) Division of Community Health (DCH) is one of nine divisions within the National Center for Chronic Disease Prevention and Health Promotion.

DCH supports grantee partners that establish community-based programs and culturally appropriate interventions to eliminate health disparities among those who experience the greatest burden of death, disability, and suffering from chronic diseases and other chronic conditions.

The Division is committed to strengthening community level health efforts throughout the nation and helping communities prevent disease and promote healthy living.

DCH promotes sustainable community action through four core programs:

- Communities Putting Prevention to Work (CPPW)
- Community Transformation Grants (CTG)
- Healthy Communities Program (HCP)
- Racial and Ethnic Approaches to Community Health (REACH)

For more information about DCH, please visit: <http://www.cdc.gov/nccdphp/dch/>

II. PURPOSE

FHI 360 requires the services of a video production vendor to shoot up to three (3) documentary style videos—two in English and one in Spanish—that feature interviews with small business owners, their community champions/beneficiaries, as well as organization representatives and/or local officials, as applicable, from key DCH-awardee communities.

Unlike other public-health videos produced by CDC—which tend to target the end beneficiary with information on how to lead a healthier life—this group of videos will have more of a B-to-B focus, showing the financial rewards of stocking healthier options in corner stores. Specifically, these videos will profile small business owners, and are being developed to resonate with the business community and other potential private-sector supporters at large. They will be offered to awardees as a tool to make the business case and encourage private-sector supporters in their own communities, and may be distributed more widely to other relevant audiences (i.e., healthy corner store proponents, grocers, chambers of commerce, city/county officials).

III. SCOPE OF WORK & DELIVERABLES

The vendor will shoot three, roughly 2 – 4 minute videos in two locations (1 English, 1 Spanish in the first location, English-only in the second location). One video will feature an African American healthy corner store owner and the other two videos (one in Spanish) a Hispanic healthy corner store owner: they will speak about their experiences/stories, demonstrating that providing access to healthy foods is good for both business and the community. The videos also will feature interviews with beneficiaries and other key representatives from DCH awardee communities, as applicable.

FHI 360 and CDC are currently identifying the specific communities/locations and interview subjects. Because final locations are still being determined, Seattle, WA, and Baltimore, MD, should be used for budgeting purposes.

Please note that this RFP is for shooting only. It is anticipated that editing and finalizing the videos will follow, but costs for this additional work should not be included in a response to this RFP.

The objectives of these videos are to (1) highlight the economic benefits/potential contribution of improved public health to a business owner, customers, and a community at large: a win-win for all, (2) illustrate positive community health changes through the business lens, and (3) inspire other communities and businesses around the country to look to these initiatives as models for positive change and use lessons learned by awardees, especially in African American and Hispanic communities.

CDC and FHI 360 are currently finalizing videos similar in scope and objective to the videos being requested in this RFP. CDC would like the new videos to have a similar look and feel to the videos currently in development. Examples of these videos can be found using the following links:

<http://www.youtube.com/watch?v=tGRI9VapQWw>
<http://www.youtube.com/watch?v=2M2k3OwCI-Q>
<http://www.youtube.com/watch?v=f-dXN7kthZA>

FHI 360 is requesting bids for:

- Participating in pre-shoot interview calls:
 - FHI 360 will create questions for and conduct up to 10 pre-shoot interview calls with interview subjects and transcribe the calls.
 - The vendor should plan to listen in on these calls.
- Developing a directional script:
 - From the pre-shoot interview transcripts, FHI 360 will identify key quotes.
 - The vendor will work with FHI 360 to identify the storyline.
 - The vendor will develop a directional script, including the identification of visuals, locations, flow, etc.

- Scouting the sites
- Conducting 2-3 days of shooting high-definition, digital video (2 locations per day), at two (2) DCH awardee communities (Seattle, Baltimore). The vendor will be responsible for:
 - Conducting on-site interviews (there is to be no limit to the number of interviews provided that they are conducted at a maximum of two locations within a designated 12-hour period).
 - Shooting b-roll of the interviewee and/or awardee community; b-roll shot list to be provided.
 - Identifying and covering location permits, fees, producer, director, wardrobe, makeup, film.
 - Providing a viewing area for on-site clients
- Recording high-quality audio at each video shoot for repurposing into podcasts.
- Delivering 2 sets of all shot video footage (one for FHI 360, one for CDC) for two (2) communities as electronic files, on hard drives formatted for a PC.

Project Timeline

- Launch project on July 1, 2013
- Participate in pre-shoot interviews – July
- Develop directional scripts – July/August
- Conduct interview shoot in Seattle, WA, or another similar location (TBD) by September 20, 2013.
- Conduct interview shoot in Baltimore, MD, or another similar location (TBD) by September 20, 2013.
- Deliver all footage to FHI 360 by September 25, 2013

IV. CONTRACT MECHANISM & TERMS OF PAYMENT

FHI 360 anticipates issuing a firm, fixed-price subcontract not to exceed \$180,000, to an offeror. FHI 360 will issue fixed payment(s) based on submission and FHI 360 acceptance of deliverables or measurable performance milestones. Once an award is issued, it will include a fixed-price payment schedule with deliverables/milestones specified in the Scope of Work.

V. PROPOSAL SUBMISSION REQUIREMENTS

Offerors should read the following proposal instructions carefully. All interested offerors must provide the following:

1. A brief description of your organization, its capabilities, and its ability to develop a video of the caliber displayed in the three, business case video links provided.
2. A fixed-price itemized budget. Each of the items must be a separate line item. Suggested line items include:
 - a) Pre-shoot interviews
 - b) Directional-script creation
 - c) Scouting the locations once identified by CDC
 - d) Shooting the video, including audio, lighting, makeup, etc.
 - e) Delivering the footage to FHI 360 via QuickTime and WMV formats on an FTP site—for reviewing purposes—and two hard drives
 - f) Delivery/courier charges
 - g) Line-itemization of any other anticipated fees such as parking, transportation, etc.
3. A timeline that includes lead and turnaround times expected for each of the aforementioned tasks. The period of performance is estimated to start on July 1, 2013 and end September 30, 2013.
4. Three client references and their contact information. References should have worked with your agency in the past two years, and be specific to the subject matter outlined in this RFP.
5. Three to five examples of work performed that is similar to the work described in this RFP. (You may provide FHI 360 with either links to videos or a DVD.)
6. Any additional considerations that you believe would add value to this work.
7. A Business Certificate and W9— Please see attached in Appendix B.

VI. CRITERIA FOR EVALUATION

Proposals will be evaluated and ranked by committee according to the conditions described in the evaluation criteria below, with a total overall maximum point value of 100:

- Ability to meet the requirements of the RFP (40 points)
- Quality of work samples and references for work of a similar nature; proven ability to perform work of the highest quality (40 points)
- Cost (20 points)

Selection will be based on “Best Value.” Proposals will first be evaluated and scored from a technical standpoint. Proposals that are considered to be technically acceptable shall then be evaluated in terms of cost. The award shall be issued to the offeror with the highest combined technical and cost score.

VII. RFP RESPONSE INFORMATION

All responses to this RFP must be received no later than 6 p.m. EST, Monday June 10, 2013. Proposals should be submitted in the following format(s):

1. Electronic email submitted to Willis Shawver, email address: wshawver@fhi360.org in either Word or PDF format.
2. For work samples being submitted on DVD, send to:

Willis Shawver
FHI 360
1875 Connecticut Ave., NW
Washington, DC 20009

All inquiries and requests for information affecting this RFP must be submitted by e-mail to wshawver@fhi360.org, reference RFP#: 3790-023-03-002-RFP-01 no later than 3 p.m. EST, Friday May 31, 2013. Inquiries and answers to inquiries will be shared with all offerors by 5 p.m. EST, Tuesday, June 4, 2013.

FHI 360 will not compensate offerors for preparation of a response to this RFP.

SOLICITATION SCHEDULE

❖ Issuance of RFP	Wednesday, May 29, 2013
❖ Final Date for Questions	Friday, May 31, 2013 by 3 p.m. EST
❖ Answers to Questions Released	Tuesday, June 4, 2013, by 5 p.m. EST
❖ Proposals Due*	Monday, June 10, 2013 by 6 p.m. EST <i>*Any bids received after the stated time and date will not be considered.</i>
❖ Evaluation Period	June 10, 2013—June 12, 2013
❖ Notification of Award	June 13, 2013
❖ Notification to Unsuccessful Offerors	June 13, 2013

RFP ATTACHMENTS:

Appendix A: Certifications

Appendix B: Purchase Order Template

Terms and Conditions:

Offerors are responsible for reviewing the terms and conditions described below and in the attached purchase order template.

Withdrawal of Proposals:

Offerors may withdraw proposals by emailing a written notice at any time before the award is made.

RFP Terms and Conditions:

Rights to Select/Reject

FHI360 reserves the right to select and negotiate with those firms it determines, in its sole discretion, to be qualified for competitive proposals and to terminate negotiations without incurring any liability. FHI360 reserves the right to reject any or all proposals received without explanation.

Request for Proposal Firm Guarantee

All information submitted in connection with this RFP will be valid for three (3) months from the RFP due date. This includes, but is not limited to, cost, pricing, terms and conditions, service levels, and all other information. If your firm is awarded the contract, all information in the RFP and negotiation process is contractually binding.

Offer Verification

FHI360 may contact offerors to confirm contact person, address, bid amount and to confirm that the bid was submitted for this solicitation.

False Statements in Offer

Offerors must provide full, accurate, and complete information as required by this solicitation and its attachments.

Conflict of Interest

Offerors must provide disclosure of any past, present, or future relationships with any parties associated with the issuance, review, or management of this solicitation and anticipated award. Failure to provide full and open disclosure may result in FHI360 having to re-evaluate selection of a potential offeror.

Reserved Rights

All RFP responses become the property of FHI360 and FHI360 reserves the right in its sole discretion to:

- Disqualify any offer based on offeror failure to follow solicitation instructions;
- Waive any deviations by offerors from the requirements of this solicitation that in FHI360's opinion are considered not to be material defects requiring rejection or disqualification; or where such a waiver will promote increased competition;
- Extend the time for submission of all RFP responses after notification to all offerors;
- Terminate or modify the RFP process at any time and re-issue the RFP to whomever FHI360 deems appropriate;
- Issue an award based on the initial evaluation of offers without discussion;
- Award only part of the activities in the solicitation or issue multiple awards based on solicitation activities.

Disclaimer:

This RFP represents only a definition of the requirements. It is merely an invitation for submission of proposals and does not legally obligate FHI360 to accept any of the submitted proposals in whole or in part, nor is FHI360 obligated to select the lowest priced proposal. FHI360 reserves the right to negotiate with any or all firms, both with respect to price, cost, and/scope of services. FHI360 has no contractual obligations with any firms based upon issuance of this RFP. It is not an offer to contract. Only the execution of a written contract shall obligate FHI360 in accordance with the terms and conditions contained in such contract.

- FHI360 may cancel solicitation and not award.
- FHI360 may reject any or all responses received.
- Issuance of solicitation does not constitute award commitment by FHI360.
- FHI360 reserves the right to disqualify any offer based on offeror's failure to follow solicitation instructions.
- FHI360 will not compensate offerors for response to solicitation.
- FHI360 reserves the right to issue award based on initial evaluation of offers without further discussion.
- FHI360 may choose to award only part of the activities in the solicitation, or issue multiple awards based on the solicitation activities.
- FHI360 reserves the right to waive minor proposal deficiencies that can be corrected prior to award determination to promote competition.
- FHI360 will be contacting all offerors to confirm contact person, address and that proposal was submitted for this solicitation.

Certification of Independent Price Determination:

(a) The offeror certifies that--

- (1) The prices in this offer have been arrived at independently, without, for the purpose of restricting competition, any consultation, communication, or agreement with any other offeror, including but not limited to subsidiaries or other entities in which offeror has any ownership or other interests, or any competitor relating to (i) those prices, (ii) the intention to submit an offer, or (iii) the methods or factors used to calculate the prices offered;
- (2) The prices in this offer have not been and will not be knowingly disclosed by the offeror, directly or indirectly, to any other offeror, including but not limited to subsidiaries or other entities in which offeror has any ownership or other interests, or any competitor before bid opening (in the case of a sealed bid solicitation) or contract award (in the case of a negotiated or competitive solicitation) unless otherwise required by law; and
- (3) No attempt has been made or will be made by the offeror to induce any other concern or individual to submit or not to submit an offer for the purpose of restricting competition or influencing the competitive environment.

(b) Each signature on the offer is considered to be a certification by the signatory that the signatory--

- (1) Is the person in the offeror's organization responsible for determining the prices being offered in this bid or proposal, and that the signatory has not participated and will not participate in any action contrary to subparagraphs (a)(1) through (a)(3) above; or
- (2) (i) Has been authorized, in writing, to act as agent for the principals of the offeror in certifying that those principals have not participated, and will not participate in any action contrary to subparagraphs (a)(1) through (a)(3) above; (ii) As an authorized agent, does certify that the

principals of the offeror have not participated, and will not participate, in any action contrary to subparagraphs (a)(1) through (a)(3) above; and (iii) As an agent, has not personally participated, and will not participate, in any action contrary to subparagraphs (a)(1) through (a)(3) above.

(c) Offeror understands and agrees that --

- (1) violation of this certification will result in immediate disqualification from this solicitation without recourse and may result in disqualification from future solicitations; and
- (2) discovery of any violation after award to the offeror will result in the termination of the award for default.

- END OF RFP -

Appendix A: Certifications



Business Type and Size Certification

Company Name: _____ dba: _____	
Address: _____	
Contact Name & Telephone Number: _____	
Type of Goods or Services Provided (include NAICS code if known http://www.census.gov/epcd/www/naics.html):	
Nationality of Owners: <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> U.S. Citizen <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Other than U.S. Citizen. Specify:	
Type of Business: <input type="checkbox"/> Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Sole Proprietor <input type="checkbox"/> Independent Consultant <input type="checkbox"/> Historically Black College or University (see FAR 2.101 for definition) <input type="checkbox"/> Not-for-Profit Organization	
Size of Business: <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Is not a small business concern. (See definition at FAR 2.101 enclosed.) If not a small business concern skip to the signature line.	
Small Business Economic Status: <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Is <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Is not a small disadvantaged business concern as defined in 13 CFR 124.1002.	
Small Business Ownership: <input type="checkbox"/> Is <input type="checkbox"/> <input type="checkbox"/> Is not a women-owned small business concern <input type="checkbox"/> Is <input type="checkbox"/> <input type="checkbox"/> Is not a veteran-owned small business concern <input type="checkbox"/> Is <input type="checkbox"/> <input type="checkbox"/> Is not a service-disabled veteran-owned small business concern. If Small Disadvantaged Business, check the category in which ownership falls: <input type="checkbox"/> Black American. <input type="checkbox"/> Hispanic American. <input type="checkbox"/> Native American (American Indians, Eskimos, Aleuts, or Native Hawaiians). <input type="checkbox"/> Asian-Pacific American (persons with origins from Burma, Thailand, Malaysia, Indonesia, Singapore, Brunei, Japan, China, Taiwan, Laos, Cambodia (Kampuchea), Vietnam, Korea, The Philippines, U.S. Trust Territory of the Pacific Islands (Republic of Palau), Republic of the Marshall Islands, Federated States of Micronesia, the Commonwealth of the Northern Mariana Islands, Guam, Samoa, Macao, Hong Kong, Fiji, Tonga, Kiribati, Tuvalu, or Nauru). <input type="checkbox"/> Subcontinent Asian (Asian-Indian) American (persons with origins from India, Pakistan, Bangladesh, Sri Lanka, Bhutan, the Maldives Islands, or Nepal). <input type="checkbox"/> Individual/concern, other than one of the preceding.	
Small Business Location: <input type="checkbox"/> <input type="checkbox"/> Is <input type="checkbox"/> <input type="checkbox"/> Is not a HUBZone small business concern listed, on the date of this representation, on the List of Qualified HUBZone Small Business Concerns maintained by the Small Business Administration, and no material change in ownership and control, principal office, or HUBZone employee percentage has occurred since it was certified by the Small Business Administration in accordance with 13 CFR part 126; and <input type="checkbox"/> Is <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Is not a joint venture that complies with the requirements of 13 CFR part 126, and the representation in the preceding paragraph is accurate for the HUBZone small business concern or concerns that are participating in the joint venture. [<i>The offeror shall enter the name or names of the HUBZone small business concern or concerns that are participating in the joint venture: _____.</i>] Each HUBZone small business concern participating in the joint venture shall submit a separate signed copy of the HUBZone representation.	
I, _____ (name), _____ (title) representing _____ (name of organization), hereby certify that the above information is accurate and complete to the best of my knowledge.	
Signature: _____	Date: _____

Request for Taxpayer Identification Number and Certification

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

Print or type
 See Specific Instructions on page 2.

Name (as shown on your income tax return)	
Business name, if different from above	
Check appropriate box: <input type="checkbox"/> Individual/Sole proprietor <input type="checkbox"/> Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Limited liability company. Enter the tax classification (D=disregarded entity, C=corporation, P=partnership) ▶ <input type="checkbox"/> Exempt payee <input type="checkbox"/> Other (see instructions) ▶	
Address (number, street, and apt. or suite no.)	Requester's name and address (optional)
City, state, and ZIP code	
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 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 chart on page 4 for guidelines on whose number to enter.

Social security number
OR
Employer identification number

Part II Certification

Under penalties of perjury, I certify that:

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

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 4.

Sign Here	Signature of U.S. person ▶	Date ▶
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General Instructions

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

Purpose of Form

A person who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) to report, for example, income paid to you, real estate transactions, mortgage interest you paid, acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA.

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN to the person requesting it (the requester) and, when applicable, to:

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.

Note. If 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 on any foreign partners' share of income from such business. Further, in certain cases where a Form W-9 has not been received, a partnership is required to presume that a partner is a foreign person, and pay the 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 withholding on your share of partnership income.

The person who gives 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 is in the following cases:

- The U.S. owner of a disregarded entity and not the entity,

- The U.S. grantor or other owner of a grantor trust and not the trust, and
- The U.S. trust (other than a grantor trust) and not the beneficiaries of the trust.

Foreign person. If you are a foreign person, do not use Form W-9. Instead, use the appropriate Form W-8 (see Publication 515, *Withholding of Tax on Nonresident Aliens and Foreign Entities*).

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

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

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

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

If you are a nonresident alien or a foreign entity not subject to backup withholding, give the requester the appropriate completed Form W-8.

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, 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 the instructions below and the separate Instructions for the Requester of Form W-9.

Also see *Special rules for partnerships* on page 1.

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

Name

If you are an individual, you must generally enter the name shown on your income tax return. However, if you have changed your last name, for instance, due to marriage without informing the Social Security Administration of the name change, enter your first name, the last name shown on your social security card, and your new last name.

If the account is in joint names, list first, and then circle, the name of the person or entity whose number you entered in Part I of the form.

Sole proprietor. Enter your individual name as shown on your income tax return on the "Name" line. You may enter your business, trade, or "doing business as (DBA)" name on the "Business name" line.

Limited liability company (LLC). Check the "Limited liability company" box only and enter the appropriate code for the tax classification ("D" for disregarded entity, "C" for corporation, "P" for partnership) in the space provided.

For a single-member LLC (including a foreign LLC with a domestic owner) that is disregarded as an entity separate from its owner under Regulations section 301.7701-3, enter the owner's name on the "Name" line. Enter the LLC's name on the "Business name" line.

For an LLC classified as a partnership or a corporation, enter the LLC's name on the "Name" line and any business, trade, or DBA name on the "Business name" line.

Other entities. Enter your business name as shown on required federal tax documents on the "Name" line. 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 the "Business name" line.

Note. You are requested to check the appropriate box for your status (individual/sole proprietor, corporation, etc.).

Exempt Payee

If you are exempt from backup withholding, enter your name as described above and check the appropriate box for your status, then check the "Exempt payee" box in the line following the business name, sign and date the form.

Generally, individuals (including sole proprietors) are not exempt from backup withholding. Corporations are exempt from backup withholding for certain payments, such as interest and dividends.

Note. If you are exempt from backup withholding, you should still complete this form to avoid possible erroneous backup withholding.

The following payees are exempt from backup withholding:

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 possession of the United States, or any of their political subdivisions or instrumentalities.
 4. A foreign government or any of its political subdivisions, agencies, or instrumentalities, or
 5. An international organization or any of its agencies or instrumentalities.
- Other payees that may be exempt from backup withholding include:
6. A corporation,
 7. A foreign central bank of issue,
 8. A dealer in securities or commodities required to register in the United States, the District of Columbia, or a possession of the United States,
 9. A futures commission merchant registered with the Commodity Futures Trading Commission,
 10. A real estate investment trust,
 11. An entity registered at all times during the tax year under the Investment Company Act of 1940,
 12. A common trust fund operated by a bank under section 584(a),
 13. A financial institution,
 14. A middleman known in the investment community as a nominee or custodian, or
 15. A trust exempt from tax under section 664 or described in section 4947.

The chart below shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 15.

IF the payment is for . . .	THEN the payment is exempt for . . .
Interest and dividend payments	All exempt payees except for 9
Broker transactions	Exempt payees 1 through 13. Also, a person registered under the Investment Advisers Act of 1940 who regularly acts as a broker
Barter exchange transactions and patronage dividends	Exempt payees 1 through 5
Payments over \$600 required to be reported and direct sales over \$5,000 ¹	Generally, exempt payees 1 through 7 ²

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

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

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 page 2), 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 Social Security Administration office or get this form online at www.ssa.gov. You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at www.irs.gov/businesses and clicking on Employer Identification Number (EIN) under Starting a Business. You can get Forms W-7 and SS-4 from the IRS by visiting www.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, 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 domestic 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, and 5 below indicate otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). Exempt payees, see *Exempt Payee* on page 2.

Signature requirements. Complete the certification as indicated in 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 to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

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

What Name and Number To Give the Requester

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account)	The actual owner of the account or, if combined funds, the first individual on the account ¹
3. Custodian account of a minor (Uniform Gift to Minors Act)	The minor ²
4. a. The usual revocable savings trust (grantor is also trustee)	The grantor-trustee ³
b. So-called trust account that is not a legal or valid trust under state law	The actual owner ¹
5. Sole proprietorship or disregarded entity owned by an individual	The owner ⁴
For this type of account:	Give name and EIN of:
6. Disregarded entity not owned by an individual	The owner
7. A valid trust, estate, or pension trust	Legal entity ⁴
8. Corporate or LLC electing corporate status on Form 8832	The corporation
9. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
10. Partnership or multi-member LLC	The partnership
11. A broker or registered nominee	The broker or nominee
12. 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

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

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

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

⁴List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.) Also see Special rules for partnerships on page 1.

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, social security number (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.

Call the IRS at 1-800-829-1040 if you think your identity has been used inappropriately for tax purposes.

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

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

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

If you receive an unsolicited email claiming to be from the IRS, forward this message to phishing@irs.gov. You may also report misuse of the IRS name, logo, or other IRS personal property to the Treasury Inspector General for Tax Administration at 1-800-368-4484. You can forward suspicious emails to the Federal Trade Commission at: spam@uce.gov or contact them at www.consumer.gov/idtheft or 1-877-IDTHEFT(438-4338).

Visit the IRS website at www.irs.gov to learn more about identity theft and how to reduce your risk.

Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons who must file information returns with the IRS to report interest, dividends, and certain other income paid to you, mortgage interest you paid, the acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA, or Archer MSA or HSA. The IRS uses the numbers for identification purposes and to help verify the accuracy of your tax return. The IRS may also provide this information to the Department of Justice for civil and criminal litigation, and to cities, states, the District of Columbia, and U.S. possessions to carry out their tax laws. We may also disclose this information to other countries under a tax treaty, to federal and state agencies to enforce federal nontax 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. Payers must generally withhold 28% of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to a payer. Certain penalties may also apply.