



Environmental Consulting Services Related to the Assessment and Remediation of The Former Waste Water Treatment Facility

Request for Qualifications (RFQ 2018-021) Town of Salem

June 28, 2018

SALEM PURCHASING

Christine Wholley, Purchasing Agent

603-890-2090 fax 603-890-2091

cawholley@salemnh.gov

Christopher A. Dillon, Town Manager

Prepared for and in coordination with the

Salem NH Municipal Services Department

Daniel Hudson, P.E., Deputy Director of Municipal Services – Engineering Division

603-890-2033

dhudson@salemnh.gov

REQUEST FOR QUALIFICATIONS

Environmental Consulting Services Related to the Assessment and Remediation of The Former Waste Water Treatment Facility

June 28, 2018

The Town of Salem, New Hampshire (the Town) is requesting qualifications from professional environmental consulting firms to provide services for the assessment and remediation of the Town of Salem, NH former wastewater treatment facility (WWTF) property.

Request for Qualifications (RFQ) documents can be obtained from the Town of Salem Purchasing Agent at Salem Town Hall, 33 Geremonty Drive, Salem NH 03079 beginning on Monday, July 9, 2018. Copies of the full RFQ may also be obtained from the Town's purchasing website:

<http://www.townofsalemnh.org/purchasing/pages/current-bids-proposals-and-awards>

Qualifications statements and all correspondence relating to this RFQ shall be submitted to:

Daniel Hudson, P.E., Engineering Director
Town of Salem
33 Geremonty Drive
Salem NH 03079
Tel. 603-890-2033
Fax. 603-898-1223
Email: dhudson@salemnh.gov

Questions shall be submitted prior to and no later than the end of business on Thursday, July 26, 2018. The Town will review and respond to questions in the form of an Addendum to be posted on the Town's purchasing website. **RFQ applications shall be received by 10:00 a.m. on Thursday, August 2, 2018.** Five (5) hardcopies and one (1) PDF copy of the application must be submitted in a sealed envelope marked "RFQ for Environmental Consulting Services for the Former WWTF." One copy of the proposed Rate Schedule shall be included in a separate sealed envelope inside the application envelope and marked "Rate Schedule for Environmental Consulting Services."

All applications will be reviewed for administrative requirements and then evaluated and scored by the Town in accordance with the criteria specified herein. The Town shall consider short-listing up to three (3) firms for interviews before selection of the most qualified and responsive firm to proceed with the project.

Section 2 – Background

The Town of Salem's former waste water treatment facility (WWTF), referred to as the Site, is located on SARL Drive in Salem, New Hampshire. The Site is located on a 32 acre parcel approximately 1-mile north of the New Hampshire-Massachusetts border on the west side of South Broadway (State Route 28). The Site is abutted by the Spicket River to the west and north, The Salem Rail Trail bike path to the east, and commercial/industrial properties to the south.

The WWTF was operated into the late 1980s until the Town installed a sewer line extension to connect to the Greater Lawrence Sanitary District (GLSD). During the course of constructing that sewer line in 1986, contaminated subsurface soils and groundwater were encountered on the Site. The Town reported the release condition to the New Hampshire Department of Environmental Services (NHDES) and began the process of investigating the nature and extent of the contamination. The Site is currently listed as NHDES Site No. 198405033 and Project No. 91 and was issued Groundwater Permit No. GWP-840533-S-001 in March 1993.

The Site's regulatory compliance history is documented on the NHDES's OneStop database (<http://www4.des.state.nh.us/DESONestop/BasicSearch.aspx>) and regulatory documents including but not limited to the following are publically available:

- *November 2017 Water Quality Sampling Round*, March 12, 2018
- *June 2017 Water Quality Sampling Round*, August 11, 2017
- *Periodic Summary Report – 2015 and 2016*, May 3, 2017
- *Groundwater Management Permit Renewal*, October 20, 2015
- *Remedial Action Plan Addendum*, August 20, 2015
- *2014 Annual Summary Report and Application for Groundwater Management Permit Renewal*, June 2, 2015

Below is provided summary of the Site's background including: hydrogeology, contaminants of concern, remedial actions, potential data gaps, and regulatory status.

Hydrogeology

In 1992 two primary source areas for the groundwater contamination at the Site were identified: 1) two areas of in-situ CVOC-contaminated soils; and 2) two stockpiles of CVOC-contaminated soils. These sources were designated the north and south contaminated soils areas, respectively.

A water quality and source area assessment was completed in 1992 due to the presence of at least 30 bedrock water supply wells located within an approximate 2-mile radius of the Site and it was concluded that groundwater quality conditions at the Site were not likely impacting off-site receptors or bedrock groundwater, based on the limited number of downgradient bedrock wells and the results of groundwater sampling and analyses performed at two of the off-site bedrock wells. The source areas for contamination and potential impacts to downgradient private water supply wells evaluation should be confirmed under this scope of work.

Overburden geology at the Site consists of three hydrogeologic units as follows: 1) fine sand from the ground surface to approximately 20 to 25 feet below ground surface (bgs); 2) laterally discontinuous silt and clay from 20 to 25 feet bgs to 30 to 35 feet bgs; and 3) sand and gravel from 30 to 35 feet bgs to 45

feet bgs. This sequence is underlain by till from 45 to 50 feet beneath which is bedrock. The silt and clay layers is thought to be a low permeability hydraulic barrier to vertical contaminant transport. Groundwater generally flows to the west toward the Spicket River.

Contaminants of Concern

The Site has been subject to extensive assessment and remedial activities over the course of the past 30 years and the primary contaminants of concern at the Site are chlorinated volatile organic compounds (CVOCs) to soil and groundwater, with trichloroethene (TCE) having the highest concentrations. Concentrations of chlorinated compounds in groundwater exceed 1 percent of their solubility limit. The magnitude and persistence of CVOC concentrations are consistent with the presence of residual and/or separate-phase dense, non-aqueous phase liquid (DNAPL). DNAPL was recently gauged within an upper hydrogeologic unit monitoring well installed within the estimated primary source area. The source of the VOCs is not known, but is anticipated to be historic unauthorized releases to the ground surface.

Sampling for metals, petroleum hydrocarbons, and polychlorinated biphenyls (PCBs) indicate that these contaminants exceed NHDES Ambient Groundwater Quality Standards (AGQS). Limited samples were analyzed for 1,4-dioxane and concentrations detected were below the NHDES AGQS. Further assessment should be performed to confirm whether sampling for these additional parameters has adequately characterized their nature and extent.

The dissolved-phase CVOC plume in overburden groundwater migrates towards the Spicket River over 600 feet to the northwest of the primary source area and is largely attenuated, but exceeding AGQS.

In 2015 New Hampshire Department of Environmental Services (NHDES) approved a reduction in the monitoring plan from sampling for VOCs three times per year to semi-annually.

Remedial Actions

Remedial activities completed to date have consisted almost exclusively of Enhanced Reductive Dechlorination (ERD) to treat parental and some daughter CVOCs and Monitored Natural Attenuation (MNA). A Remedial Action Plan Addendum for the Site was submitted to NHDES in August 2015, but the recommended remedial actions have not been implemented. The proposed remedial approach includes use of in-situ biotic and abiotic ERD, along with excavation of vadose zone soil and potential excavation of soil within the upper hydrogeologic unit. The proposed remedy includes the use of Zero-Valant Iron (ZVI) and biological ERD for remediation of the primary source area.

The NHDES approved the proposed remedial action amendment, but also recommended that, in order to achieve a “no further action criteria” direct excavation would clearly be more effective. NHDES recommended that, for the vadose zone and Upper Unit soils, direct excavation is favored as a primary remedy, with the ZVI-ERD based approach used as a subsequent “polishing” step to address residual CVOC concentrations in groundwater after contaminated soil removal.

The former WWTF buildings, process tanks/basins, and appurtenances were demolished in 2017, with the exception of the Main Building basement. As part of that demolition effort PCB-impacted water was pumped out of the flooded main building basement and treated prior to disposal in the sanitary sewer.

Potential Data Gaps

The CVOC source-area mass is primarily distributed amongst three subsurface overburden units. These include: (1) vadose-zone (unsaturated) soils, (2) Upper Unit soils located below the groundwater table and, (3) Lower Unit soils located at greater depths below the groundwater table. The available data do

not indicate significant CVOCs presence in site bedrock underlying the Lower Unit, but this conclusion should be confirmed.

The following data gaps are identified with the current conceptual site model:

1. The nature and extent of contaminants in soil, overburden groundwater and bedrock groundwater needs to be confirmed.
2. The nature and extent of DNAPL at the site needs to be confirmed.
3. The transport of contaminants between the upper and lower stratigraphic units including through both natural pathways and soil borings/monitoring wells needs to be confirmed and considered as part of additional subsurface investigations.
4. The consistent conceptual site model needs to be updated for the Site.

As discussed above, the Town has been undertaking assessment and remedial activities for the past 30 years. Understanding the Site's history and developing remedial alternatives that provide the Town with flexible options for future redevelopment of the property is of critical importance. Future assessment and remedial actions shall take into consideration not only cost and schedule, but also any restrictions on future property use.

Section 3 – Scope of Services

The Town is seeking a qualified professional environmental consultant to provide the Town with services associated with the assessment and remediation of the former WWTF site. The final scope of services will be negotiated with the selected consultant, but potential services include the following activities:

- Review and evaluation of historical site assessment and remediation records to become familiar with the site history, nature and extent of contamination, and remedial actions undertaken to date.
- Develop a technical approach to delineate the nature and extent of contamination at the site for use in defining the conceptual site model and developing remedial action alternatives for further evaluation.
- Complete additional site assessment activities to delineate the nature and extent of contamination in soil, groundwater, surface water, and soil vapor. Assessment activities shall be focused on addressing data gaps, further delineation of site impacts, and developing data to be used in support of remedial designs and risk assessment.
- Preparation of a Remedial Action Plan Addendum that documents the findings of the additional site assessment activities, completes a comparative analysis of remedial action alternatives, and provides a professional recommendation for the remedial action alternative that addresses the Town's objectives and applicable regulatory requirements.
- Performance of semi-annual groundwater monitoring associated with the Site's Groundwater Management Permit (GWP-198405033-S-005, expires October 19, 2020).
- Complete additional hazardous building material assessment of the main WWTF building basement and appurtenances to identify potential hazardous building materials including, but

not limited to PCB coated surfaces and asbestos containing materials. Assessment activities shall include visual inspection, field-screening, collection of representative material samples for laboratory analysis, and preparation of a technical report documenting the assessment findings, regulatory requirements for remediation (i.e., federal, state, and local), and preliminary cost estimate for remediation. This work would be in support of the future demolition/remediation of the remaining WWTF Main Building basement structure and/or appurtenances.

- Meet with representatives of the Town throughout the project to confirm the Town's objectives, discuss project progress, and review the technical approach.
- Regulatory coordination with NHDES to provide for timely submittals of regulatory documents pertaining to compliance with State regulations and Site permits.
- **Section 3 RFQ Response Requirements:** Responses to this RFQ shall briefly (maximum of 4 pages) include the following:
 - A general description of the project management approach in working on an environmental assessment and remediation project of this type.
 - A general description of the technical approach to evaluate the historic site information, identify data gaps, and develop recommendations for further assessment activities.
 - A general description of remedial strategies that may be effective to address the contaminants of concern at the Site the technical approach to evaluate remedial alternatives to develop the recommended remedial approach.
 - Discussion of how remedial alternatives allow future redevelopment of the property and potential restrictions on future property use.
 - An estimated schedule for completing supplemental assessment activities, developing remedial action alternatives, and preparing the draft Remedial Action Plan Addendum.

Section 4 – Qualifications Criteria

Professional environmental consulting services firms shall be expected to demonstrate the following minimum qualifications:

- Minimum of five (5) years professional environmental consulting experience in New Hampshire and working with the State of New Hampshire's environmental regulations including Contaminated Site Management (ENV-OR-600) and Groundwater Release Detection Permit (ENV-OR-700).
- Firm shall be certified to provide professional engineering services in the State of New Hampshire. A copy of the firm's current certificate shall be provided as an attachment to the submittal.
- Project manager and senior technical lead shall be licensed in the State of New Hampshire as a professional engineer or geologist with a minimum of five (5) years of professional experience and demonstrate previous experience working on environmental assessment and remediation projects in the State of New Hampshire.

- Demonstrated experience in environmental site assessment, fate and transport, and remediation for sites impacted with CVOCs, and dense non-aqueous phase liquid (DNAPL), including specific experience with complex exposure pathways including soil (vadose zone and saturated zone), groundwater (multi-level hydrogeologic units), soil vapor/indoor air, and surface water. Minimum of three (3) projects in the past five years.
- Demonstrated experience in developing and implementing remedial strategies that include both in-situ and extraction treatment technologies and include considerations for future site use/redevelopment. Minimum of three (3) projects in the past five years.
- Demonstrated experience in developing remedial performance standards and performing environmental and human health risk assessments.
- Demonstrated experience in meeting regulatory compliance deadlines associated with Groundwater Management Permits.
- Demonstrated experience working with municipalities on engineering and environmental consulting projects.
- **Section 4 RFQ Response Requirements:** Responses to this RFQ shall briefly (maximum of 2 pages) include the following:
 - A general description of your firm's qualifications to provide environmental assessment and remediation services with specific references to experience with CVOCs, DNAPL, and municipal sites. Detailed project descriptions and client references shall be provided under Section 6.

Section 5 – Project Team

The proposed project team shall be identified including the principal in charge, project manager, senior technical lead, and any key subconsultants on your project team. Key project team members/subconsultants for risk assessment, groundwater modeling, and remediation technology shall be identified. A brief description of each project team member's experience shall be provided along with a project organizational chart (maximum of 2 pages). Resumes (2 page maximum) for key staff and subconsultants shall be provided as an attachment to the RFQ application.

Section 6 – Project References

The RFQ response shall include up to five (5) project descriptions for similar projects involving the assessment and/or remediation of CVOCs and DNAPL. Project descriptions shall be limited to 1 page each and include contact information for client reference. The Town will check such references as may be appropriate.

Section 7 – Evaluation Criteria

The Town will evaluate all RFQ applications submitted by the prescribed deadline. Any application which fails to meet any of the minimum qualifications shall be rejected as non-responsive. In addition to the minimum requirements, the following comparative criteria will be used in evaluating the applications. Interviews with up to three (3) consultants will be completed based on the results of the evaluation.

- **Environmental Assessment Experience with CVOCs:**

- **Highly Advantageous** – Work on more than 10 contaminated sites with at least 3 sites in New Hampshire in the past 5 years.
- **Advantageous** – Work on more than 5 contaminated sites with at least 2 in New Hampshire in the past 5 years.
- **Acceptable** – Work on more than 3 contaminated sites in the past 5 years.
- **Experience with DNAPL Sites:**
 - **Highly Advantageous** – Work on more than 3 DNAPL sites in past 5 years with at least 1 site in New Hampshire.
 - **Advantageous** – Work on more than 1 DNAPL site in past 5 years.
 - **Acceptable** – Work on at least 1 DNAPL site in past 5 years.
- **Environmental Remediation Experience with CVOCs:**
 - **Highly Advantageous** – Implementation of more than 5 Remedial Action Plans in the past 10 years and at least 3 sites have achieved a permanent solution.
 - **Advantageous** – Implementation of more than 3 Remedial Action Plans in the past 10 years where at least 1 site has achieved a permanent solution.
 - **Acceptable** – Implementation of at least 3 Remedial Action Plans in the past 10 years.
- **Technical Approach to Similar Projects:**
 - **Highly Advantageous** – Provides a detailed technical approach that makes reference to all of the items in the scope of services and demonstrates experience in the thorough assessment of contaminated sites, innovative thinking in developing remedial strategies for legacy sites, and a history of successfully implementing remediation projects that allow for property redevelopment.
 - **Advantageous** – Provides a detailed technical approach that makes reference to most of the scope of services and demonstrates experience in the assessment and remediation of contaminated sites.
 - **Acceptable** – Provides a limited technical approach that addresses some of the items under the scope of services.
- **Proposed Staffing:**
 - **Highly Advantageous** – Project manager and senior technical lead demonstrate greater than 20 years of professional experience including working on similar sites and demonstrate experience working for municipal clients. Excellent client references. Key staff and subconsultants located within 1 hour of Salem, New Hampshire.
 - **Advantageous** – Project manager and senior technical lead demonstrate greater than 15 years of professional experience including working on similar sites. Good client references.

- **Acceptable** – Project manager demonstrates greater than 10 years of professional experience including working on similar sites. Good client references. Senior technical lead is a subconsultant.
- **General Quality of RFQ Application:**
 - **Highly Advantageous** – Exceeds all RFQ requirements, demonstrates understanding of the project and innovative approach to addressing the complexities of the Site, responsive to RFQ administrative requirements.
 - **Advantageous** – Meets all RFQ requirements, demonstrates understanding of the project, and responsive to RFQ administrative requirements.
 - **Acceptable** – Meets all minimum requirements, and responsive to RFQ administrative requirements.

Section 8 – Rate Schedule

In a separate sealed envelope, the applicant shall submit a standard fee schedule identifying the billing rates for project team members along with mark-up on direct expenses. The rates schedule will be opened after the applications have been evaluated and firms selected for interviews have been identified.

Section 9 – Required Forms

The following forms should be included as attachments to the RFQ submittal:

1. Copy of State of New Hampshire’s certificate of authorization to practice engineering.
2. Current Certificate of Liability Insurance identifying the firm’s liability limits for commercial general, automobile, umbrella, workers compensation, engineering professional, and pollution policies. Minimum insurance requirements are:
 - a. Commercial General Liability: \$1,000,000 each occurrence / \$2,000,000 aggregate
 - b. Automobile Liability: \$1,000,00 combined single limit
 - c. Umbrella Liability: \$6,000,000 each occurrence / \$6,000,000 aggregate
 - d. Worker’s Compensation and Employer’s Liability: \$1,000,00 each accident / \$1,000,000 disease each employee / \$1,000,000 disease policy limit
 - e. Professional Liability including Pollution Liability: \$3,000,000 per claim and \$5,000,000 aggregate
3. Statement of any legal and administrative proceedings pending or concluded adversely to the applicant within the past five (5) years which relate to the applicant’s performance of this type of work.

Section 10 – General Conditions

Limitations

This Request for Qualifications (RFQ) does not commit the TOWN to award a contract, to pay any costs incurred in the preparation of a response to this request, or to procure or contract for services or supplies. The TOWN reserves the right to accept or reject any or all RFQ documents received as a result of this request, or to cancel in part or in its entirety this RFQ, if the TOWN determines it is in its best interest to do so.

Technical Evaluation

In the evaluation of qualifications and proposals, the TOWN, at its discretion, may obtain support from outside sources. The proposer will agree to fully cooperate with the personnel of any such organization.

Description of Responsibilities

Upon successful award and acceptance of a contract, the CONSULTANT agrees to the basic requirements of the award described as follows:

1. Prime Contractor: The successful CONSULTANT will be considered as the prime contractor for those services indicated in their proposal and will be required to assume full responsibility for the services offered in this proposal whether or not the firm is the firm delivering all of the services. The Town of Salem will consider the successful CONSULTANT to be the sole point of contact with regard to all contractual matters, including performance or service unless otherwise stated. Prior to final selection, CONSULTANTS may be required to submit any additional information, which the Town may deem necessary to determine the CONSULTANT'S qualifications to respond to the RFQ. Should any of the information requested by the Town be considered by the CONSULTANT to be confidential it should be so stated. The Town will attempt to treat any information submitted by the CONSULTANT as confidential if requested to do so; however, the Town cannot insure such confidentiality.
2. No Assignment: Assignment by the successful CONSULTANT to any third party of any contract based on the RFQ or any monies due shall be prohibited and will not be recognized by the Town of Salem unless approved in advance by the Town in writing.
3. Project Management Representation: The CONSULTANT shall provide the staff and resources as outlined in the RFQ and shall not assign to other staff without the written approval of the Town.
4. Completion of Scope: The CONSULTANT shall complete the scope as negotiated and agreed upon and shall deliver staff and resources to professionally and expeditiously complete such scope. The CONSULTANT by virtue of their prior professional experience shall understand and endeavor during the contract negotiations to determine the possible obstacles that would interfere with the completion of the scope. The CONSULTANT shall make such obstacles known to the Town and provide the Town with solutions to overcome such obstacles.
5. Deliverables: In addition to providing hard copy documentation of work product, the consultant shall also provide the Town with electronic format copies of the Bid Document (plans in AutoCAD or other acceptable format, and specifications in Microsoft Word). Ownership of plans

and documents shall be to the Town. The only acceptable exclusions of this shall be in the areas intellectual property that has been substantially developed by the CONSULTANT prior to and not part of the contract.

6. Force Majeure: Neither party will be liable to the other for any failure or delay in rendering performance arising out of causes beyond its control and without its fault or negligence. Such causes may include, but not be limited to, acts of God or the public enemy, freight embargoes, and unusually severe weather, but the failure or delay must be beyond its control and without its fault or negligence. Dates or times of performance may be extended to the extent of delays excused by this section, provided that the party whose performance is affected notifies the other promptly of the existence and nature of such delay.

Non-Discrimination in Employment and Affirmative Action

1. The CONSULTANT shall not discriminate against any qualified employee or applicant for employment because of race, color, national origin, ancestry, age, sex, religion, or physical/mental handicap. The CONSULTANT agrees to comply with all applicable Federal and State statutes, rules and regulations prohibiting discrimination in employment.
2. If a complaint or claim alleging violation by the CONSULTANT of such statutes, rules, or regulations is presented, the CONSULTANT agrees to cooperate in the investigation and disposition of complaint or claim.
3. In the event of the CONSULTANT'S non-compliance with the provisions in this section, the Town of Salem shall impose such sanctions as it deems appropriate, including but not limited to the following:
 - a. Withholding of payments due the CONSULTANT until the CONSULTANT complies, and
 - b. Termination or suspension of any contract or agreement pursuant to this RFQ.

[END OF REQUEST FOR QUALIFICATIONS]

**Request for Taxpayer
Identification Number and Certification**

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

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

Print or type. See Specific Instructions on page 3.	1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.	
	2 Business name/disregarded entity name, if different from above	
	3 Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only one of the following seven boxes.	4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):
	<input type="checkbox"/> Individual/sole proprietor or single-member LLC <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=Partnership) ▶ _____ <small>Note: Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is not disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner.</small> <input type="checkbox"/> Other (see instructions) ▶ _____	<input type="checkbox"/> C Corporation <input type="checkbox"/> S Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate Exempt payee code (if any) _____ Exemption from FATCA reporting code (if any) _____ <small>(Applies to accounts maintained outside the U.S.)</small>
	5 Address (number, street, and apt. or suite no.) See instructions.	Requester's name and address (optional)
	6 City, state, and ZIP code	
	7 List account number(s) here (optional)	

Part I Taxpayer Identification Number (TIN)

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

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

Social security number									
				-					
OR									
Employer identification number									
				-					

Part II Certification

Under penalties of perjury, I certify that:

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

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

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

General Instructions

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

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

Purpose of Form

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

- Form 1099-INT (Interest earned or paid)

- Form 1099-DIV (dividends, including those from stocks or mutual funds)
 - Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
 - Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
 - Form 1099-S (proceeds from real estate transactions)
 - Form 1099-K (merchant card and third party network transactions)
 - Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
 - Form 1099-C (canceled debt)
 - Form 1099-A (acquisition or abandonment of secured property)
- Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.
- If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See *What Is Backup Withholding*, later.