

**NAVAJO DEPARTMENT OF WORKFORCE DEVELOPMENT (NDWD)  
REQUEST FOR PROPOSAL**

**PY 2018 Comprehensive Services Program (CSP) Conference**

**RFP BID NO.: 18-02-1774LE**

**PROPOSAL DUE DATE:** March 08, 2018

**DESCRIPTION:** Navajo Department of Workforce Development  
RFP- CSP Adult Conference

**CONTACT PERSON:** Lavine J. Roan, Contract Analyst  
Phone: 928-871-7707/7730  
Fax : 928-871-7116

**~ RETURN PROPOSALS CLEARLY MARKED ~**

**“DO NOT OPEN: RFP#18-02-1774LE - CSP ADULT CONFERENCE”**

**PROPOSAL & BID SUBMITTAL DEADLINE AND RELEVANT INFORMATION:**

All proposals and bids delivery using UPS or Federal Express, must be physically submitted to:

**PHYSICAL ADDRESS:** Navajo Department of Workforce Development  
Tribal Hill Drive-FA# 2754  
Window Rock, Arizona 86515  
ATTN: Lavine J. Roan, Contract Analyst  
**RFP NO: \_RFP #18-02-1774LE “DO NOT OPEN”**

**MAILING ADDRESS:** Navajo Department of Workforce Development  
P.O. Box 1889  
Window Rock, Arizona 86515  
ATTN: Lavine J. Roan, Contract Analyst  
**RFP NO: RFP#18-02-1774LE “DO NOT OPEN”**

**SECTION I**

- A. ISSUING OFFICE:** This Request for Proposal (RFP) is issued by the Navajo Nation Department of Workforce Development (NDWD), Division of Human Resources, Navajo Nation, P.O. Box 1889, Tribal Hill Drive-FA# 2754, Window Rock, Arizona. The contact person for this RFP is Lavine J. Roan, Contract Analyst.
- B. PURPOSE:** This RFP provides prospective respondents with sufficient information to enable them to prepare and submit proposal for consideration. If you cannot respond to the RFP, fax back 1<sup>st</sup> page and indicate **“No Bid”** to Fax No. 928-871-7116, or email [LJRoan@ndwd.org](mailto:LJRoan@ndwd.org).
- C. SCOPE:** This RFP contains the instructions governing the proposal to be submitted and the material to be included therein; mandatory requirements which must be met to be eligible for consideration; and other requirements to be met by each proposal.
- D. REJECTION OF PROPOSALS:** The Navajo Nation reserves the right to waive any informalities or irregularities in the RFP, or reject any or all proposals whenever such rejection is deemed in the best interest of the Navajo Nation.
- E. PROCUREMENT OF RFP:**  
This procurement shall be conducted in accordance with all applicable Navajo Nation laws and regulations including the Navajo Business Opportunity Act. All applicable rules, regulations, and laws shall also be followed. Prospective Vendors shall familiarize themselves with Navajo Nation regulations prior to submitting responses to this RFP, and may request a copy of Navajo Nation procurement regulations from the NDWD Contract Analyst at any time up to the Deadline for Proposals.
- | <b>F. SCHEDULE OF ACTIVITIES:</b>  | <b>DEADLINE:</b>                |
|--|---------------------------------|
| 1. Public Advertisement  | February 15, 16, 20, 21, 2018   |
| 3. Prospective respondent’s written question deadline<br>(No questions accepted after this date) | February 26, 2018               |
| 5. Responses to questions  | February 27, 2018               |
| 6. Due date for proposals  | March 08, 2018<br>4:00 p.m. DST |
| 7. Opening of proposals and evaluation by<br>Review Team   | March 09, 2018                  |
| 8. Award date for contract<br>Pending Legislative Review-164 process                             | March 12, 2018                  |

- G. INQUIRIES:** Prospective respondents shall make written questions concerning this RFP to obtain clarification of requirements through e-mail to Lavine J. Roan, Contract Analyst, at [LJRoan@ndwd.org](mailto:LJRoan@ndwd.org).

NOTE: Please Mark on the outside of the envelope- **“RFP- CSP Adult Conference”**  
**DO NOT OPEN RFP NO. 18-02-1774LE**

- H. ADDENDUM OF SUPPLEMENT TO THIS REQUEST FOR PROPOSALS:** In the event that it becomes necessary to revise any part of this RFP, an addendum will be issued.

- I. PROPOSAL SUBMISSION:** Proposal must be received on or before 4:00 p.m. March 08, 2018 (MDST). Respondents who are mailing their proposals should allow sufficient time for mail delivery to insure receipt by the date specified. If mailed, it is recommended that proposals be sent by certified mail to the address indicated on the cover sheet of the RFP. Late proposals will not be accepted.

- J. FOUR SETS OF PROPOSALS ARE REQUIRED:** Four (4) sets of the proposal must be delivered in a sealed envelope - one (1) original and three (3) copies. The outside of the envelope should be clearly marked with the project name-**“RFP-CSP Adult Conference”**, and the name and address of the firm submitting the proposal.

**K. Proposal Format:**

1. Respondent(s) must indicate if they are priority vendor with the Navajo Nation.
2. All proposals must be typewritten on standard 8-1/2 X 11 paper and placed within a binder with tabs delineating each section. Larger paper is permissible for charts, maps, or the like.
3. An original RFP response and three (3) copies must be provided in sealed envelope.
4. The proposal must be organized and indexed in the following format:
  - a. A letter of Transmittal
  - b. Statement of Qualifications
  - c. Proposal Meeting Its Objective
  - d. Proposed Cost **(Sealed in Separate Envelope)**
5. Each proposal must be accompanied by a letter of transmittal. The letter of transmittal must:
  - a. Provide background on company;
  - b. Identify the name of the person responding to the RFP;
  - c. Identify the name, title, and telephone numbers of person authorized to negotiate on behalf of the organization(s);
  - d. Identify the names, files, and telephone numbers of person to be contact for clarification;

- e. Explicitly indicate acceptance of the conditions governing this procurement;
  - f. Be signed by the person responding to the RFP; and
  - g. Acknowledge receipt of any and all amendments to the RFP.
6. The respondent must submit a statement of qualifications.
    - a. The respondent must submit a resume.
    - b. Number of years of experience working with Navajo Nation government entities or other government entities.
    - c. The respondent will provide three (3) references. Each reference must include the name, address, and telephone number of a contact person who can describe, in some detail, the quality, quantity, and substance of services provided.
    - d. The respondent must provide Certificate of Liability Insurance, including additional documents, in Section IV Requirements.
  7. Respondent must provide proposal on contract approach.
    - a. Provide in detail how they would accomplish the objectives described in the scope of work.
    - b. Provide number of employees in the company/organization.
    - c. Provide Resume & Credentials of each Employee including Diploma and/or Degrees.
  8. Proposed cost: (Sealed in Separate Envelope)
    - a. The respondent will provide detail cost for the NDWD CSP Adult Conference.

**L. PROPOSAL REVIEW PROCESS:** Proposals will not be publicly opened on the due date specified. NDWD will screen and evaluate proposals received in accordance with the submission criteria. Proposals that fail this check will be rejected and returned to the firm unrated.

**M. REJECTION OF PROPOSALS:** NDWD reserves the right to reject any and all proposals. This RFP may be canceled at any time and all proposals may be rejected in whole or in part when the NDWD Department Manager determines it is in the best interest of the Navajo Nation.

**N. PROPRIETARY INFORMATION:** Any restriction on the use of data contained within any proposals must be clearly stated in the proposal itself. Proprietary information submitted in response to this RFP will be handled in accordance with applicable purchasing procedures. Each and every page of the proprietary material must be labeled or identified with the word “proprietary”.

**O. RESPONSE MATERIAL OWNERSHIP:** All material submitted regarding this RFP shall become property of the Navajo Nation and will not be returned to the respondent. Responses received will be retained by NDWD and may be reviewed by any person after

final selection has been made. NDWD has the right to use any or all system ideas presented in reply to this RFP. Disqualification or non-selection of a respondent or proposal does not eliminate this right.

**P. INCURRING COSTS:** NDWD is not liable for any cost by the respondents prior to issuance of a contract.

**Q. ACCEPTANCE TIME:** NDWD intends to make a vendor selection within two (2) working days after the closing date for receipt of proposals.

**R. SUFFICIENT APPROPRIATION:**  
A contract awarded as a result of this RFP is contingent upon the availability of funds. A contract may be terminated or reduced in scope if sufficient funds do not exist. Sending written notice to the Vendor shall effect such termination or reduction in scope. The NDWD Department Manager's decision to terminate or reduce the scope due to insufficient appropriations shall be accepted as final by the Vendor.

**S. JOINT PROPOSALS:** Nothing in this RFP shall be construed to prohibit vendors from entering into a consortium for the purpose of offering a proposal in response to this RFP. Parties to a consortium will not be permitted independent, individual proposals in response to this RFP.

**T. EVALUATION PROCEDURES AND SELECTION CRITERIA.**

1. An evaluation team will evaluate the proposals received in accordance with the general criteria used herein. Respondents should be prepared to provide any additional information the team feels necessary for the fair evaluation of proposals.
2. Failure of a respondent to provide any information requested in the RFP may result in disqualification of the proposal. All proposals must be endorsed with the signature of a responsible official having the authority to bind the respondent to the execution of a contract.
3. The sole objective of the review team will be to select the respondent who is most responsive to the needs of NDWD. The specifications in this RFP represent the minimum performance necessary for a response. On the basis of the evaluation Criteria established in this RFP, the review team will select and recommend the respondent who best meets this objective. If there is only one responsive bid, the NDWD Department Manager may elect to evaluate the RFP solely.
4. Evaluation Criteria: The following criteria will be used by a review committee in the selection process for contract award.

Initial Point Criteria:

- |                             |             |
|-----------------------------|-------------|
| a. Presentation of Response | 1-10 points |
| Completeness                |             |

Clarity of Presentation	
Organization of Presentation	
Understanding NDWD Objectives	
b. Statement of Qualifications	1-10 points
List of three (3) Client References	
c. Technical Requirements	1-20 points
Project description	
Projected accomplishments	
d. Project Management	1-20 points
Project Management Experience	
Schedule/Project Plan	
Staffing	
Related Experience	
Education - Credentials	
e. Navajo Nation vendor, Priority 1 or 2	1-10 points
f. Financial	1-10 points
Financial Statement	
Evidence of financial solvency	
g. Cost of Service	1-20 points

**Total possible points = 100**

**U. STANDARD CONTRACT:** The Navajo Nation reserves the right to incorporate standard contract provision into any contract negotiations as a result of a proposal submitted in response to the RFP.

**V. SPECIAL CLAUSES:** Pursuant to Section 507 PL 106-113, Special Clauses: The grant agreement requires disclosure of (1) the percentage of the total costs of the program or project which will be financed with Federal money (2) the dollar amount of Federal funds for the project or program, and the (3) percentage and dollar amount of total costs of the project or program that will be financed by nongovernmental sources.

- 100% of total cost of this RFP will be financed with WIOA Section 166 Grant Funds.
- Upon award and acceptance, the total dollar amount will be made available upon the contract with the awarded vendor.
- None of this RFP will be funded by outside sources

**W. TAX:** All appropriate taxes should be included in cost of services including the Navajo Sales Tax. All work performed within the territorial jurisdiction of the Navajo Nation is

subject to the Navajo Sales Tax of 5% (24 N.N.C. Section 601 et. seq.)

**X. TERM:** The term of this contract will be from April 16 – 20, 2018.

**Y. SOVEREIGNTY:** The Navajo Nation will not relinquish any of its sovereignty rights.

**Z. COMPLIANCE WITH LAWS AND REGULATIONS:**

The successful Vendor shall comply with all Federal, Tribal, State, and Local laws, regulations and Navajo Nation rules and policies pertaining to work under its charge, and shall, at its expense, procure any permits that may be required.

**AA. INDEMINIFICATION:**

To the fullest extent permitted by law, or as otherwise defined in the Contract, the successful Vendor shall indemnify and hold harmless the Navajo Nation and its officials, employees and agents from and against all claims, liens or demands that result in losses, liabilities, defense costs and expenses (including but not limited to attorney's fees and costs of litigation) arising out of the term, conditions and performance under the contract.

The Vendor further agrees to indemnify and hold harmless the Navajo Nation, its agents, or employees, against claims or liability arising from or based upon the violation of any federal, state, county, city, or other applicable laws, bylaws, ordinances, or regulations by the Vendor, its agents, associates, or employees.

The indemnification provided above shall obligate the Vendor to defend at its own expense or to provide for such defense, at the Navajo Nation's option, of any and all claims of liability and all suits and actions of every name and description that may be brought against the Navajo Nation which may result from the operations and activities under any Contract resulting from this RFP.

The award of this Contract to the Vendor shall obligate the Vendor to comply with the foregoing indemnity provision.

## **SECTION II**

### **A. BACKGROUND**

The Nation Department of Workforce Development (NDWD) is 100% federally funded under the Workforce Investment Opportunity Act (WIOA) and the Native Employment Works (NEW) Program. Navajo Department of Workforce Development has been providing much needed employment and training services to eligible participants and meeting employer's demands for skilled workers.

Goal:

The NDWD WIOA Comprehensive Service Program and the Native Employment Works (NEW) goals are to decrease long-term unemployment, create classroom training opportunities to become employable, provide supportive services to continue employment or training, increase the literacy skills of the eligible population, and provide opportunities for targeted populations to become self-sufficient.

### **SECTION III**

#### **A. RESPONDENT REQUIREMENTS:**

All respondents must have, as a minimum, the capabilities listed herein and the bid proposals submitted must reflect in detail the inclusion of these services as well as the additional forms required in Section IV. Respondent should also provide technical information of delivery of services required in this RFP.

#### **B. SCOPE OF WORK:**

The Navajo Department of Workforce Development (NDWD) invites qualified firms to submit cost proposals to provide accommodations for the NDWD Comprehensive Services Program (CSP) 2018 conference from April 16 – 20, 2018.

The cost break down should include the following for 120 participants:

- Cost of Conference facilities including microphone (s), podiums, laptop, screen/media, power cords/power supply for presentations and any discounts that will apply.
- Cost of meals (Breakfast, Lunch, and Dinner) per participant. Include all gratuities in the proposal.
- Snacks/Coffee/Water (a.m. and p.m.)
- Cost of lodging per participant (CONUS /Group rates). A total of 70 rooms will need to be blocked - two (2) participants per room.
- Include all applicable sales/lodging taxes in proposal.
- PLEASE SEE ATTACHED “TENTATIVE’ AGENDA AND DAILY ITINERARY for further information.

### **SECTION IV**

#### **The following documents are required and must be submitted:**

1. Navajo Nation Certification Regarding Debarment & Suspension (Attached)
2. Federal Form Tax W-9
3. Licensed, bonded, and current General Liability Insurance.



## **TENTATIVE AGENDA**

### **START END**

### **MONDAY, April 16, 2018**

8:00 4:00 Travel (5 Workforce Centers – 100 youth & 20 staff)  
5:00 6:30 Cook out (Dinner) by Hotel

### **START END**

### **TUESDAY, April 17, 2018 - Team Day**

7:00 8:00 Breakfast provided by Hotel  
8:00 8:30 REGISTRATION .  
8:30 9:00 General Session - Master of Ceremony: Welcome by Marriott Hotel Manager.  
9:00 10:00 Motivational Speaker:  
10:00 10:15 Break (AM snacks)  
10:15 11:00 Speaker/Group Activity: TBD  
1. Crownpoint 2. Fort Defiance  
  
12:00 Speaker/Group Activity: TBD  
1. Shiprock 2. Chinle 3. Tuba City  
  
12:00 1:00 LUNCH –provided by Hotel  
1:00 2:00  
2:00 3:00  
3:00 3:15 Break (PM snacks)  
3:15 4:15  
4:15 5:00  
5:30 7:00 Dinner (Agency)

### **START END**

### **WEDNESDAY, April 18, 2018 – Hat Day** Career Exploration Day (Service Providers)

7:00 8:00 Breakfast Provided by Hotel  
8:00 8:45 Departure – School (TBA) (all WFC)/sign in sheet.  
9:30 10:15 Group Meeting with school (Financial aid workshop)  
10:15 10:30 Break  
10:30 12:00 On-site tour of service providers  
12:00 1:00 WILL BE PROVIDED BY NDWD PROGRAM.  
1:00 3:00 Group meeting with service provider  
3:00 3:15 Break (PM)  
3:15 5:00 Group tour with service provider.  
5:30 7:00 Dinner (PROVIDED NDWD PROGRAM)

### **START END**

### **THURSDAY, April 19, 2018 – Cultural Day**

7:00 8:00 Breakfast provided by Hotel

8:00 8:15 Alvin Smith, Counselor to explain the adult activity/timeline.  
 8:15 10:00 Adult Group Activity by Tuba City, Chinle and Shiprock WFCs  
 10:00 10:15 Break (AM snacks)  
 10:15 11:00 Adult Group Activity by Fort Defiance and Crownpoint WFCs  
 11:00 12:00  
 12:00 1:00 LUNCH – provided by Hotel  
 1:00 2:00  
 2:00 3:00  
 3:00 3:15 Break (PM snacks)  
 3:15 4:15  
 5:30 7:00 NDWD Adult Banquet by Hotel. Participants/Staff. \*Door Prize drawing  
 (Hotel will provide dinner)

**START END FRIDAY, April 20, 2018**

7:00 8:00 Breakfast provided by Hotel  
 8:00 8:30 Sign In - Evaluation  
 8:30 10:00 Writing assignment  
 10:00 12:00 Check out & Boxed Lunch provided by Hotel  
 12:00 5:00 Departure/Travel back to WFCs/home.

**ITINERARY:**

Monday	Tuesday	Wednesday	Thursday	Friday
Travel  1pm – 6pm Registration Cook-out	General assembly  Work shops 1pm-5pm	Tour Service Providers	Workshops 8am – 4pm  Banquet 5:30pm – 7pm	General assembly  Lunch boxes  Travel

**Per Federal Government – Per Diem Rates**

Item (s)	Monday 04/16/18	Tuesday 04/17/18	Wednesday 04/18/18	Thursday 04/19/18	Friday 04/20/18	Total
<b>Meals</b>	100 participants & 20 staff (Dinner )	100 participants & 20 staff (Breakfast & Lunch )	100 participants & 20 staff (Breakfast)	100 participants & 20 staff (Breakfast, Lunch & Dinner)	100 participants & 20 staff (Breakfast & Box Lunch)	none
<b>Snacks</b>	0	120 people	0	120 people	0	none

		(AM & PM)		(AM & PM)		
<b>Lodging: A BLOCK OF 50 ROOMS REQUIRED.</b>	50 rooms Participants	50 rooms Participants	50 rooms Participants	50 rooms Participants	0	50 rooms X 4 nights <b>(These rooms will be charged against the Contract)</b>
<b>Other: Staff Lodging: A BLOCK OF 20 ROOMS REQUIRED.</b>	20 rooms	20 Rooms	20 Rooms	20 Rooms	0	20 rooms X 4 nights <b>(Staff will be using a PCard to pay for their rooms.)</b>

**CONFERENCE LOGISTICS:**

Description	Monday 04/16/18	Tuesday 04/17/18	Wednesday 04/18/18	Thursday 04/19/18	Friday 04/20/18
<b>Room needed</b>	Patio & Picnic area or room (5 pm to 7 pm cook out)	General Assembly (8 am to 10 am) Stage area	0	Room for evening banquet (6 pm to 8 pm)	General Assembly (8 am to 12 noon) Stage area
<b>workshop</b>	Registration room	4 breakout rooms (10 am to 5 pm)	0	4 breakout rooms (8 am to 4 pm)	none
<b>Small storage area or office</b>	Small storage area or office	Small storage area or office	Small storage area or office	Small storage area or office	none
<b>Equipment</b>	0	Screen/media audio, laptop, PA system	0	Screen/media audio, laptop PA system	Media audio



**NAVAJO NATION CERTIFICATION  
Regarding Debarment and Suspension**

Applicant acknowledges that to the best of his/her knowledge that their company and principal participants on this contract:

1. Are not debarred, suspended, or otherwise slated for debarment, ineligible and/or excluded from participation on Federal, State and Tribal Government contracts etc.
2. Are not presently nor have been under criminal indictment or civilly charged by a governmental entity (Federal, State and Tribal Government) for fraud, forgery, falsification, theft, bribery, destruction of records, receiving stolen property and other criminal offenses in the administration of a government contract.
3. Have not been terminated for cause or convenience by a governmental entity in the administration of a government contract (Federal, State or Tribal Government)
4. If the Navajo Nation determines that the Certificate provided herein is not true, it will be grounds to terminate the contract and pursue other legal remedies.

Applicant's Address:

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Name & Signature of Applicant

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Type or Print Name

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Signature          /          Date

# Request for Taxpayer Identification Number and Certification

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

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

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 <b>one</b> of the following seven boxes.		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) _____  <i>(Applies to accounts maintained outside the U.S.)</i>
	<input type="checkbox"/> Individual/sole proprietor or single-member LLC <input type="checkbox"/> C Corporation <input type="checkbox"/> S Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate		
	<input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=Partnership) ▶ _____ <b>Note:</b> 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 <b>not</b> 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.		
	<input type="checkbox"/> Other (see instructions) ▶ _____		
	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.

<b>Social security number</b>											
<b>or</b>											
<b>Employer identification number</b>											

**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.

## Part II Certification

Under penalties of perjury, I certify that:

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

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

<b>Sign Here</b>	Signature of U.S. person ▶	Date ▶
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## General Instructions

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

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

### Purpose of Form

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

- Form 1099-DIV (dividends 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.*