

# FAX BID REQUEST

BID NUMBER: Fire Wood

STATE OF CONNECTICUT, Dept. of  
Energy & Environmental Protection  
79 Elm St.  
Hartford, CT 06106  
PHONE: 860-424-3832  
EMAIL: carl.chu@ct.gov

<b>Vendor:</b>	<b>Ship To:</b> The State of CT. DEEP
<b>Phone:</b>	<u>AS PER ATTACHMENT A PAGE 1 OF 2</u> <u>&amp; ATTACHMENT A PAGE 2 OF 2</u>
<b>Fax:</b>	

DATE ISSUED	ISSUED BY	DATE/TIME BID REQUIRED	DATE REQUIRED	F.O.B.	TERMS
	<b>Carl L. Chu</b>	12/6/13 8:00 AM			
11/20/13	Please return bid by <b>Email</b> Email: <a href="mailto:carl.chu@ct.gov">carl.chu@ct.gov</a> Phone No. 860-424-3832	SEE INSTRUCTIONS BELOW			Net 45 days

	The Connecticut Department of Energy and Environmental Protection (DEEP) seeks, proposals for: Bundled firewood for re-sale for a period of Three Years as per attached quantities, specifications, & locations...	Unit	Qty.	Unit Price	Total
	Please Note: Quantities, Locations, And Time Frame Are Estimates Only. The D.E.E.P. Makes No Guarantee As To Actual Usage. Actual Usage Will Depend On Budgetary Considerations And Other Circumstances That May Arise.				
	Description				
	Estimated (9,000) Bundles Of Firewood Per Year For A (Three Year Period) As Per Attached Specifications And Locations.				
1.	2014 Season	Bundled	9000		
2.	2015 Season	Bundled	9000		
3.	2016 Season	Bundled	9000		

NOTE: DO NOT INCLUDE FEDERAL EXCISE TAXES OR CONNECTICUT SALES TAX, AS THE STATE IS EXEMPT.  
BIDDER INSTRUCTIONS: PLEASE FAX YOUR QUOTE ON THIS FORM TO (860) 953-8581 AND MAIL FORM WITH ORIGINAL SIGNATURE TO THE ADDRESS IN THE UPPER RIGHT HAND CORNER. ALL PRICES MUST BE F.O.B. DESTINATION AND YOU MUST SIGN THIS FORM. THE STATE RESERVES THE RIGHT TO REJECT IN WHOLE OR IN PART ANY AND ALL BIDS. PLEASE NOTE BID DEADLINE. LATE BIDS WILL NOT BE ACCEPTED. THE UNDERSIGNED BIDDER AFFIRMS AND DECLARES: THAT THIS QUOTATION IS EXECUTED AND SIGNED BY SAID BIDDER WITH FULL KNOWLEDGE AND ACCEPTANCE OF THE PROVISIONS OF FORM SP-19 OF CURRENT ISSUE AND IN EFFECT ON THE DATE OF THIS BID ISSUE. FORM SP-19, ENTITLED STANDARD BID AND CONTRACT TERMS AND CONDITIONS TOGETHER WITH THE COMMODITY SPECIFICATIONS, PROPOSAL SCHEDULE, AND SPECIAL BID AND CONTRACT TERMS ARE MADE A PART OF THIS REQUEST FOR QUOTATION.

QUOTATION NO.	DATE :	VENDOR FEIN/SSN :	ARE YOU INCORPORATED?	DELIVERY AS REQ-D ABOVE (UNLESS NOTED HERE)
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			YES	NO	
SIGNED :		TITLE :	TELEPHONE NO. AND EXTENSION :		CASH DISCOUNT:    PAYMENT TERMS:
PRINTED :					%    DAYS    NET 45

## Request for Quotation – Invitation to Bid

### **CAMPGROUND BUNDLED FIREWOOD**

The State of Connecticut, Department of Energy and Environmental Protection (DEEP), State Parks Division is seeking to purchase bulk quantities of bundled, seasoned firewood on an annual basis. Past usage has been approximately 9,000 a year but we cannot guarantee that future purchases will be the same. The awarded vendor will deliver to seven (7) campgrounds statewide for the 2014 recreation season. Due to unforeseeable budgetary allotments quantity and delivery locations are not guaranteed and are an estimate only. The specific campground delivery sites and quantities of bundled firewood required for the 2014 recreation season are identified in Attachment A. Firewood transportation regulations have been impacted by the expansion of the Emerald Ash Borer Quarantine for all four western Connecticut counties. Firewood coming from Fairfield, Hartford, New Haven and or Litchfield Counties cannot leave this area unless treated and permitted by the Connecticut Agriculture Experiment Station, please see link regarding additional details

<http://www.ct.gov/deep/lfb/deep/forestry/eab/firewoodtransportationselfcertification.pdf>

#### Product Specifications:

1. Firewood cut in Connecticut shall be from mixed hardwood tree species only and have been seasoned for at least one calendar year. Any wood generated out of Connecticut shall be heated to a core temperature of 71 degrees Celsius (160 degrees Fahrenheit) for 75 minutes. A heat certificate certifying heat temperature shall be provided by the vendor for each delivery.
2. Firewood shall be consumer packaged (bundled) using a combustible wrapping or binding material with a carrying handle affixed. Tied twine is not considered an acceptable bundling material.
3. The bundled product shall be approximately 1.0 cubic feet in volume.
4. Firewood shall be uniformly split to provide a minimum of seven (7) pieces per bundle.
5. Firewood shall be cut to approximate 15" or 16" lengths.
6. Equivalent number of "Sure-Lite" or equal fire starter sticks shall be provided for each bundle of wood delivered.

#### Delivery Requirements:

1. Awarded vendor shall be responsible for delivering the specified quantity of bundled firewood on pallets and shrink wrapped loads to the campgrounds identified on attachment A.
2. The anticipated delivery period shall begin in April and will continue on and as a needed basis for further duration of the contract period. Also note on Attachment A that the campgrounds have specified mid-season deliveries.
3. Vendor must contact each facility supervisor to coordinate mutually agreeable delivery dates.
4. All firewood deliveries must be in compliance with plant quarantine and firewood regulations of the Connecticut Agricultural Experiment Station. RCSA 22-84-1 through 22-84-5g ([http://www.sots.ct.gov/sots/lfb/sots/regulations/title\\_22/084.pdf](http://www.sots.ct.gov/sots/lfb/sots/regulations/title_22/084.pdf)).

#### Bid Requirements:

1. Awarded vendor shall submit quotation based upon a "per bundle" unit cost. Unit cost for bundled firewood shall be the same for all campground locations irrespective of delivery distances within the state or quantities specified for the duration of this contract period.
  - a. Provide unit cost for 1.0 cu.ft. bundle with minimum (7) pieces per bundle.

2. It is understood that bundled firewood will be delivered by the vendor on pallet shrink wrapped sized quantities
  - a. Vendor must indicate the standard quantity of bundles per pallet.
  - b. Vendor is responsible for off-loading wood bundles including palletized loads.
3. If the DEEP elects to purchase additional pallet quantities within contract period beyond amounts specified, all terms and conditions remain the same.

**Attachment A Page 1 of 2**

Connecticut State Park Campground Delivery Locations & Estimated Minimum Annual Quantity

<u>Campground Facility Contact Info</u>	<u>Est. Qty. Bundles</u>	<u>Park Supervisor</u>
<b>3 Parks located in Eastern CT area:</b>		
Rocky Neck State Park (Rocky Neck Campground) 244 West Main Street Niantic, CT 06357	2,800	Gary Nasiatka <a href="mailto:gary.naslatka@ct.gov">gary.naslatka@ct.gov</a> Ph:860-739-5471

(Note: 1<sup>st</sup> 1,000 delivered by April 23rd, 2<sup>nd</sup> 1,000 delivered by June 24th and the 3<sup>rd</sup> 800 by Aug. 5<sup>th</sup>.)

Pachaug State Forest (Salt Rock State Campground) 120 Scotland Rd Sprague, CT	600	Ted Sauve <a href="mailto:ted.sauve@ct.gov">ted.sauve@ct.gov</a> Ph:860-376-2920 Cell:860-798-4388
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(Note: 1<sup>st</sup> 300 delivered middle of May and 2<sup>nd</sup> 300 delivered by July 4<sup>th</sup> weekend)

Mashamoquet Brook (Mashamoquet Brook Campground) 147 Wolf Den Drive Pomfret Center, CT 06259 (Note: 1 <sup>st</sup> 300 delivered in April and 2 <sup>nd</sup> delivered in May or June)	600	Lori Lindquist <a href="mailto:lori.lindquist@ct.gov">lori.lindquist@ct.gov</a> Ph:860-928-612 Cell: 860-463-6390
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Continued next page,

**Attachment A Page 2 of 2**

**4 Parks located in Western CT area:**

<u>Campground Facility Contact Info</u>	<u>Est. Qty. Bundles</u>	<u>Park Supervisor</u>
Kettletown State Park (Kettletown Campground) 1400 George's Hill Rd. Southbury, CT	1,000	Nate Hale <a href="mailto:nathan.hale@ct.gov">nathan.hale@ct.gov</a> Ph:203-264-5169 Cell:203-803-1583 Southford Shop Ph: 203-264-5169

(Note: 1<sup>st</sup> 500 delivered by May 22<sup>nd</sup> and Park will call for second delivery)

Macedonia Brook State Park (Macedonia Brook State Campground) 159 Macedonia Brook Road Kent, CT 06757	1,250	Josh Rimany <a href="mailto:josh.rimany@ct.gov">josh.rimany@ct.gov</a> Ph:860-927-3238 Cell:860-462-9386
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(Note: 1<sup>st</sup> 625 delivered by April 1st and 2<sup>nd</sup> 625 delivered end of June)

Housatonic Meadows State Park (Housatonic Meadows Campground) 90 Route 7 North Sharon, CT 06069	1,250	Josh Rimay <a href="mailto:josh.rimany@ct.gov">josh.rimany@ct.gov</a> Ph:860-927-3238 Cell:860-462-9386
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(Note: 1<sup>st</sup> 625 delivered by April 1st and 2<sup>nd</sup> 625 delivered end of June)

American Legion State Forest (Austin F. Hawes Campground ) West River Rd. Pleasant Valley, (Barkhamstead, CT)	1,500	Dick Miska <a href="mailto:richard.miska@ct.gov">richard.miska@ct.gov</a> Ph:860-379-2469 or Lynn Anderson Ph:860-379-0922
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(Note: 1<sup>st</sup> 300 delivered by April 15<sup>th</sup>, 2<sup>nd</sup> 300 delivered by May 19<sup>th</sup>, 3<sup>rd</sup> delivery of 300 by June 30<sup>th</sup>, 4<sup>th</sup> delivery of 300 by July 28<sup>th</sup> and 5<sup>th</sup> delivery of 300 by Aug. 25<sup>th</sup>)

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Total Bundles East and West	9,000	
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**STATE OF CONNECTICUT**  
**DEPARTMENT OF ADMINISTRATIVE SERVICES**  
**PROCUREMENT DIVISION**  
**165 Capitol Avenue, 5<sup>th</sup> Floor South**  
**HARTFORD, CT 06106-1659**

**Standard Bid Terms and Conditions - Page 1 of 3**

The following Terms and Conditions govern the Invitation To Bid issued by the Department of Administrative Services (DAS). Incorporated by reference into these Terms and Conditions are applicable provisions of the Connecticut General Statutes, including but not limited to, those in Title 4a, Chapter 58 or Title 4d, Chapter 61 and applicable provisions of the Regulations of Connecticut State Agencies, including but not limited to, those that begin with and follow Section 4a-52-1 or 4d-3-1.

Bidders shall comply with the statutes and regulations as they exist on the date of their bid and as they may be modified from time to time during the term of the contract, as it may be amended.

Pursuant to Connecticut General Statutes 4a-60b,, The Department of Administrative Services, at its sole discretion, may elect to solicit Bid pricing through a Reverse Auction.

**Submission of Bids**

1. All Bid documents must be submitted on-line through the DAS Business Network ("BizNet") and will be accepted as your official submission by DAS. If DAS receives additional submissions of your Bid hand delivered or delivered to the mailing address listed on this bid, DAS will reject those submittals.
2. Bids must be submitted on-line using the forms specified by DAS and must be submitted no later than the date and time specified in the Invitation To Bid. Paper Bids, telephone or facsimile bids will not be accepted in response to an Invitation to Bid.
3. Bids received after the time and date of bid opening specified in each Invitation To Bid will not be accepted for consideration.
4. A Bidder will not be allowed to post or resubmit a bid after the due date and time specified in the Invitation to Bid. Incomplete bid forms may result in the rejection of the bid. Amendments to bids received by DAS after the time specified for opening of bids will not be considered. With the exception of pricing submission through Reverse Auction participation. Bids may be computer prepared, typewritten or handwritten in ink and then uploaded in BizNet. All bids shall be signed by a person duly authorized to sign bids on behalf of the bidder. Unsigned bids may be rejected.
5. Conditional bids are subject to rejection in whole or in part. A "conditional bid" is defined as one limiting or modifying any of the terms and conditions and/or specifications of the Invitation to Bid.
6. Alternate bids will not be considered unless the Invitation to Bid specifically requests alternate bids. An alternate bid is one which is submitted in addition to and is not dependent upon the bidder's primary response to the Invitation To Bid.
7. In the event of a discrepancy between the unit price and the extension, the unit price shall govern. Prices should be extended in decimal form, not fractions, to be net, and shall

include transportation and delivery charges fully prepaid by the Contractor to the destination specified in the Invitation To Bid, and subject only to cash discount.

8. Pursuant to Section 12-412 of the Connecticut General Statutes, the State of Connecticut is exempt from the payment of excise, transportation and sales taxes imposed by the Federal Government and/or the State. Such taxes must not be included in bid prices.

9. All bids will be opened publicly on the date specified in the Invitation To Bid and, upon award, are subject to public inspection.

10. The Bidder fully acknowledges and agrees with all of the terms and conditions contained in this Bid Form SP-19, the accompanying Invitation to Bid, Form SP-26, and the Contract. Further, if the bidder is awarded a contract for the goods and/or services called for in the Invitation To Bid, the bidder's signature on Bid Form SP-26 shall mean that the bidder shall be bound by and perform fully in accordance with all of the terms and conditions set forth in the Invitation To Bid, this Form SP-19 and the Contract as if the bidder had actually executed Form SP-19 and the Contract itself.

**Guaranty or Surety**

11. Bid and or performance bonds may be required. Bonds must meet the following requirements: Corporation - must be signed by an official of the corporation above their official title and the corporate seal must be affixed over the signature; Firm or Partnership - must be signed by all the partners and indicate they are "doing business as"; Individual - must be signed by the owner and indicated as "Owner". The surety company executing the bond or countersigning must be licensed in Connecticut and the bond must be signed by an official of the surety company with the corporate seal affixed over their signature. Signatures of two witnesses for both the principal and the surety must appear on the bond. Power of attorney for the official signing the bond for the surety company must be submitted with the bond.

**Samples**

12. The quality of accepted bid samples does not supersede specifications for quality in the Invitation to Bid unless the sample is superior in quality. All deliveries shall have at least the same quality as the accepted bid sample.

13. Samples are furnished free of charge. Bidders must indicate if their return is desired, which DAS shall do provided that they are returned at Bidder's sole cost and expense, FOB Bidder's destination, and that they have not been made useless by testing. If they are made useless by testing, the State may dispose of the samples as it deems to be appropriate. Samples may be held for comparison with deliveries.

**Award**

14. Award of a contract will be made to the lowest responsible qualified bidder and shall be based on quality of the goods or services to be supplied, their conformance with specifications, delivery terms, price, administrative costs, past performance, and financial responsibility.

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**Standard Bid Terms and Conditions - Page 2 of 3**

15. DAS may reject any bidder in default of any prior contract or guilty of misrepresentation or any bidder with a member of its firm in default or guilty of misrepresentation.

16. DAS may correct inaccurate awards resulting from clerical or administrative errors.

17. Bidders have ten days after notice of award of the contract to refuse acceptance. After ten days the Contract will be binding on the Contractor. If the Contractor rejects the award within the ten day period, DAS will award the contract to the next lowest responsible qualified bidder.

**Other Requirements**

18. Section 4a-81 (the "Act") of the Connecticut General Statutes requires that the Invitation to Bid of which these Terms and Conditions are a part include a notice of the consulting affidavit requirements described in the Act. Accordingly, pursuant to the Act, vendors are notified as follows:

(a) No state agency or quasi-public agency shall execute a contract for the purchase of goods or services, which contract has a total value to the state of fifty thousand dollars or more in any calendar or fiscal year, unless the state agency obtains the written affidavit described in subsection (b) of this section.

(b) (1) The chief official of the vendor awarded a contract described in subsection (a) of this section or the individual awarded such contract who is authorized to execute such contract, shall attest in an affidavit as to whether any consulting agreement has been entered into in connection with such contract. Such affidavit shall be required if any duties of the consultant included communications concerning business of such state agency, whether or not direct contact with a state agency, state or public official or state employee was expected or made. "Consulting agreement" means any written or oral agreement to retain the services, for a fee, of a consultant for the purposes of (A) providing counsel to a contractor, vendor, consultant or other entity seeking to conduct, or conducting, business with the State, (B) contacting, whether in writing or orally, any executive, judicial, or administrative office of the state, including any department, institution, bureau, board, commission, authority, official or employee for the purpose of solicitation, dispute resolution, introduction or requests for information or (C) any other similar activity related to such contract. "Consulting agreement" does not include any agreements entered into with a consultant who is registered under the provisions of Chapter 10 of the Connecticut General Statutes concerning the State's Codes of Ethics, as of the date such affidavit is submitted. (2) Such affidavit shall be sworn as true to the best knowledge and belief of the person signing the certification on the affidavit and shall be subject to the penalties of false statement. (3) Such affidavit shall include the name of the consultant, the consultant's firm, the basic terms of the consulting agreement, a brief description of the services provided, and an indication as to whether the consultant is a former state employee or public official. If the consultant is a former state employee or public official, such affidavit shall indicate his or her former agency and the date such employment terminated. (4) Such affidavit shall be updated no later than 30 days after the effective date of any such change contained in the most recently filed affidavit or

upon submittal of any new bid or proposal, whichever is earlier.

(c) If a vendor refuses to submit the affidavit required under subsection (b) of this section, then the state agency shall not award the Contract to such vendor and shall award the contract to the next highest ranked vendor or the next lowest responsible qualified bidder or seek new bids or proposals.

19. Section 4-252 (the "Statute") of the Connecticut General Statutes requires that the Invitation to Bid, of which these Terms and Conditions are a part, include a notice of the vendor certification requirements described in the Statute. Accordingly, pursuant to the Statute, vendors are notified as follows:

(a) The terms "gift," "quasi-public agency," "state agency," "large state contract," "principals and key personnel" and "participated substantially" as used in this section shall have the meanings set forth in the Statute.

(b) No state agency or quasi-public agency shall execute a large state contract unless the state agency or quasi-public agency obtains the written certifications described in this section. Each such certification shall be sworn as true to the best knowledge and belief of the person signing the certification, subject to the penalties of false statement.

(c) Any principal or key personnel of the person, firm or corporation submitting a bid or proposal for a large State contract shall certify on such forms as the State shall provide:

(1) That no gifts were made by (A) such person, firm, corporation, (B) any principals and key personnel of the person, firm or corporation, who participates substantially in preparing bids, proposals or negotiated State contracts, or (C) any agent of such person, firm, corporation or principals and key personnel, who participate substantially in preparing bids, proposals or negotiating state contracts, to (i) any public official or state employee of the state agency or quasi-public agency soliciting bids or proposals for state contracts, who participates substantially in the preparation of bid solicitations or requests for proposals for state contracts or the negotiation or award of state contracts, or (ii) any public official or state employee of any other state agency, who has supervisory or appointing authority over such state agency or quasi-public agency;

(2) That no such principals and key personnel of the person, firm or corporation, or agent of such person, firm or corporation or principals and key personnel, knows of any action by the person, firm or corporation to circumvent such prohibition on gifts by providing for any other principals and key personnel, official, employee or agent of the person, firm or corporation to provide a gift to any such public official or state employee; and

(3) That the person, firm or corporation is submitting bids or proposals without fraud or collusion with any person.

(d) Any bidder or proposer that does not make the certification required under this section shall be disqualified and the state agency or quasi-public agency shall award the contract to the next highest ranked proposer or the next lowest responsible qualified bidder or seek new bids or proposals.

(e) Each state agency and quasi-public agency shall include in the bid specifications or request for proposals for a large state contract a notice of the certification requirement of this section.

20. The existence of the contract shall be determined in accordance with the requirements set forth above. However, the award of the contract is not an order to ship. Contractors may not begin to perform under the awarded contract until the Contractor and the State have executed the contract and

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**Standard Bid Terms and Conditions - Page 3 of 3**

thereafter the Contractor receives a written purchase order from an appropriate State entity.

21. With regard to a State contract as defined in Section 9-612 of the Connecticut General Statutes having a value in a calendar year of \$50,000 or more or a combination or series of such agreements or contracts having a value of \$100,000 or more, the authorized signatory to this submission in response to the State's solicitation expressly acknowledges receipt of the State Elections Enforcement Commission's notice advising prospective state contractors of state campaign contribution and solicitation prohibitions, and will inform its principals of the contents of the notice. See Contract Exhibit C.

22. Public Act 11-55 and Public Act 11-229 have amended the nondiscrimination provisions of the Connecticut General Statutes to add gender identity or expression to the existing protected classes and to require State contractors to adopt policies in support of the new statutes by means of an affidavit or resolution. Accordingly, attached as Form NDC is a form certification that the successful contractor must deliver executed at the time that it executes the Contract. The execution and submittal of this affidavit or resolution is a condition precedent to the State's executing the Contract, unless the contractor is exempt from this statutory requirement, in which case the contractor must obtain a written waiver from the State's Commission on Human Rights and Opportunities.

## 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/disregarded entity name, if different from above	
	Check appropriate box for federal tax classification: <input type="checkbox"/> Individual/sole proprietor <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) ▶ _____  <input type="checkbox"/> Other (see Instructions) ▶ _____	Exemptions (see instructions):  Exempt payee code (if any) _____  Exemption from FATCA reporting code (if any) _____
	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 the "Name" line 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.

Social security number									
Employer identification number									

**Note.** If the account is in more than one name, see the chart on page 4 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 on page 3.

<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.** The IRS has created a page on IRS.gov for information about Form W-9, at [www.irs.gov/w9](http://www.irs.gov/w9). Information about any future developments affecting Form W-9 (such as legislation enacted after we release it) will be posted on that page.

#### 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, payments made to you in settlement of payment card and third party network transactions, 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, and  
 4. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct.

**Note.** If you are a U.S. person and a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

**Definition of a U.S. person.** For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien,
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States,
- An estate (other than a foreign estate), or
- A domestic trust (as defined in Regulations section 301.7701-7).

**Special rules for partnerships.** Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax under section 1446 on any foreign partners' share of effectively connected taxable income from such business. Further, in certain cases where a Form W-9 has not been received, the rules under section 1446 require a partnership to presume that a partner is a foreign person, and pay the section 1446 withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid section 1446 withholding on your share of partnership income.

**Exempt payee code.** 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. Corporations are not exempt from backup withholding for payments made in settlement of payment card or third party network transactions.

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

The following codes identify payees that 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
- 5—A corporation
- 6—A dealer in securities or commodities required to register in the United States, the District of Columbia, or a possession of the United States
- 7—A futures commission merchant registered with the Commodity Futures Trading Commission
- 8—A real estate investment trust
- 9—An entity registered at all times during the tax year under the Investment Company Act of 1940
- 10—A common trust fund operated by a bank under section 584(a)
- 11—A financial institution
- 12—A middleman known in the investment community as a nominee or custodian
- 13—A trust exempt from tax under section 664 or described in section 4947

The following chart shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 13.

IF the payment is for . . .	THEN the payment is exempt for . . .
Interest and dividend payments	All exempt payees except for 7
Broker transactions	Exempt payees 1 through 4 and 6 through 11 and all C corporations. S corporations must not enter an exempt payee code because they are exempt only for sales of noncovered securities acquired prior to 2012.
Barter exchange transactions and patronage dividends	Exempt payees 1 through 4
Payments over \$600 required to be reported and direct sales over \$5,000 <sup>1</sup>	Generally, exempt payees 1 through 5 <sup>2</sup>
Payments made in settlement of payment card or third party network transactions	Exempt payees 1 through 4

<sup>1</sup> See Form 1099-MISC, Miscellaneous Income, and its instructions.

<sup>2</sup> However, the following payments made to a corporation and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees, gross proceeds paid to an attorney, and payments for services paid by a federal executive agency.

**Exemption from FATCA reporting code.** The following codes identify payees that are exempt from reporting under FATCA. These codes apply to persons submitting this form for accounts maintained outside of the United States by certain foreign financial institutions. Therefore, if you are only submitting this form for an account you hold in the United States, you may leave this field blank. Consult with the person requesting this form if you are uncertain if the financial institution is subject to these requirements.

- A—An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)
- B—The United States or any of its agencies or instrumentalities
- C—A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities
- D—A corporation the stock of which is regularly traded on one or more established securities markets, as described in Reg. section 1.1472-1(c)(1)(i)
- E—A corporation that is a member of the same expanded affiliated group as a corporation described in Reg. section 1.1472-1(c)(1)(i)
- F—A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state

- G—A real estate investment trust
- H—A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940
- I—A common trust fund as defined in section 584(a)
- J—A bank as defined in section 581
- K—A broker
- L—A trust exempt from tax under section 664 or described in section 4947(a)(1)
- M—A tax exempt trust under a section 403(b) plan or section 457(g) plan

**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](http://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](http://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 [IRS.gov](http://IRS.gov) or by calling 1-800-TAX-FORM (1-800-829-3676).

If you are asked to complete Form W-9 but do not have a TIN, apply for a TIN and write "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

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

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

**Part II. Certification**

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

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

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

1. **Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983.** You must give your correct TIN, but you do not have to sign the certification.
2. **Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983.** You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.
3. **Real estate transactions.** You must sign the certification. You may cross out item 2 of the certification.
4. **Other payments.** You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments made in settlement of payment card and third party network transactions, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).
5. **Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), 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.





**STATE OF CONNECTICUT**  
DEPARTMENT OF REVENUE SERVICES



Dennis Thibodeau Manager  
Dept of Energy & Environmental Protection  
79 Elm Street  
Hartford, CT 06106

Dear Colleague:

I am pleased to provide your agency or municipality with a Connecticut State Agency Tax Exemption Number. This certificate issued by the Department of Revenue Services (DRS) will serve as evidence that your agency or municipality is exempt from Connecticut sales and use taxes on the purchase or lease of tangible personal property and services, except for meals and lodging. Qualifying state agencies or municipalities still must get advance DRS approval for sales and use tax exemptions for meals and lodging.

Tax Exemption Numbers are issued only to Connecticut state agencies or certain municipalities. DRS does not assign tax exempt numbers to agencies of the United States government. (See **Policy Statement 2010(7), Tax Exempt Purchases by Connecticut State Agencies and Municipalities.**)

DRS issues Tax Exemption Numbers to state government agencies or certain municipalities to verify the agency or municipality's tax-exempt status when making purchases. Use your Tax Exemption Number when completing **CERT-134, Exempt Purchases by Qualifying Governmental Agencies.**

For information on Tax Exemption Number policy, see PS 2010(7), on the DRS web site at [www.ct.gov/DRS](http://www.ct.gov/DRS) or call the DRS Taxpayer Services Division at 860-297-5962. As always, I welcome your comments and suggestions. Feel free to e-mail DRS at [drs@po.state.ct.us](mailto:drs@po.state.ct.us)

Sincerely,

Kevin B. Sullivan, Commissioner

OR-295 (Rev. 01/11)

OR-295 (Rev. 01/11)	<b>STATE OF CONNECTICUT</b>	06-6000798 DEP 43000
<b>NOT TRANSFERABLE or ASSIGNABLE</b>	DEPARTMENT OF REVENUE SERVICES	Tax Exemption Number
	25 Sigourney Street, Hartford CT 06106-5032	October 10, 2011
	Connecticut State Agency/Municipality	Date Issued
	Tax Exemption Number	
Dept of Energy & Environmental Protection		Kevin B. Sullivan
79 Elm Street		Commissioner
Hartford, CT 06106		
The Connecticut State Agency or Municipality named on this certificate is exempt from Connecticut sales and use taxes on the purchase or lease of tangible personal property and services, except for meals and lodging. This permit is issued pursuant to Conn. Gen. Stat. §12-412(1)(A).		