

VILLAGE OF NORTHBROOK

STANDARD OPERATING PROCEDURES

TITLE: PRIVATE PROPERTY DRAINAGE/FLOOD PROTECTION
COST PARTICIPATION PROGRAM

Page 1 of 6

Number: 70-001-02

Effective Date: May 1, 1997
Revision Date: April 6, 2007
Revision Date: April 20, 2009
Revision Date: June 13, 2019

Dept.: PUBLIC WORKS

Distribution: 1, 2, 3, 5



Village Engineer

APPROVAL



Deputy Village Manager CFO

POLICY: The Public Works Department is responsible to address inquiries and concerns from property owners regarding rear, side or front yard drainage problems on private property in accordance with the Village of Northbrook Municipal Code Sections 16-4 and 19-57 and the Village of Northbrook Standards and Specifications for Public and Private Improvements, Section IV. These problems are understood to consist of standing (ponding) water and overland flow of water (drainage), which may or may not endanger inhabited structures.

The use of Village funds will be made available in the Annual Budget, contingent upon approval by the Board of Trustees, to help improve these situations wherever possible. Such cost participation will be in the form of reimbursement and be set at 30 percent where pipes directing water to the storm sewer or a ditch are utilized, and 70 percent reimbursement where non-pipe solutions are constructed. For properties where structure flooding has been verified, reimbursement of 50 percent for projects involving pipes will be allowed. The Village will reimburse the percentage listed above of the lowest bid for the total project or a not-to-exceed amount of \$5,000.00 per property, whichever is less and based on available funding within the budget. It is understood that one or more private properties may be included and participating in a project. Typical improvements will include: lawn re-grading to establish drainage swales or berms, rain gardens, rain barrels or the installation of a small flood/retaining wall. In the event that the problematic drainage area involves multiple properties and/or if there is no means of correcting the standing water by means of surface drainage (as stated above) the Village may consider the installation of a storm sewer drainage structure and connecting proposed storm sewer pipe directly to the Village storm sewer system. Connecting a proposed pipe system to any existing private system is prohibited unless the property owner can provide a drainage study showing the existing system can take in additional water without compromising the original requirements for said system. No Village funding will be allotted for said drainage study. It will be the responsibility of the participating private property owners to obtain written permission from all other property owners for any and all work that occurs on adjacent private properties that are not participating in the project.

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PURPOSE: It is the purpose of this Standard Operating Procedure to:

- Establish a procedure which includes an expedient investigation of the reported drainage problem;
- Define a uniform methodology to develop and pursue suggestions; and
- Provide Village reimbursement cost participating funds to improve said problems, wherever possible.

PROCEDURE:

1. When an inquiry is received from a private property owner regarding a drainage problem, the Public Works Department will input the inquiry in the property file, indicating the location, name of caller, date, time and general description of the problem with classification (level) or type of drainage complaint.
 - 1st Classification: Flooding basement/crawl space – Response: Day of contact (Immediate response by Staff).
 - 2nd Classification: Stormwater ponding against residential foundations (no dwelling damage or potential hazard of flooding building) – Response: Day of or within 24hrs.
 - 3rd Classification: Non-structure flooding on property (large amounts of standing water after 72 hrs.) – Response: 72-96 hrs.
 - 4th Classification: Downspout/Sump Pump questions – Response: Upon availability of Staff's schedule.

During rain event Staff will only be responding to items 1 & 2 where structure damage is occurring. Residents are encouraged to email pictures to the Public Works Department showing the water concerns. Call the Public Works Department at 847-272-4711 for a current email address.

2. A site inspection by Village Staff for items 1 and 2, preferably with the property owner present, will be scheduled to better understand the problem. Inspections shall not be scheduled with property owners for item 3 due to the high number of inspections required in the 24 hour period. Permission from property owner to access their property is given upon the request from the property owner to investigate the private property drainage issue.
3. The site inspection will attempt to determine if the problem is caused by a sewer obstruction, a violation (illegal grading, obstructing landscaping, fences or a misdirected sump pump discharge or downspout), "back-pitched" ground adjacent to the structure, settlement of ground/lawn areas elsewhere on the property (deficient grading), frost conditions or the absence of a positive drainage outlet.

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4. If the problem appears to be caused by a public sewer obstruction, an internal work order request will be created requesting that the Sewer Crew jet/flush the line. If the problem appears to be caused by a private sewer obstruction, the apparent owner of the private sewer will be notified of the problem in writing with a request to repair.
5. If the problem appears to be caused by a violation, the property owner will be notified in writing and the problem must be resolved within ten (10) calendar days of the dated letter. If the violation has not been corrected after this time, a citation will be served in person or by United States Postal Service and the matter will be referred to the Local Administration Adjudication Hearing process. It will be at the discretion of the Village Engineer to increase the time duration to correct the issue considering the severity of the issue. Village Staff will track all communications in the property file.
6. If the problem appears to be caused by a new or recently completed construction project (Building Permit), the matter will be referred to the Building & Development Department for resolution.
7. If the problem is caused by deficient grading and/or the absence of a positive drainage outlet, the Public Works Department will make a site visit and offer verbal suggestions on how to remedy the concern. The home owner should also consult with contractors to find other possible remedies and then consult with the Village on their decision to improve the situation in accordance with Village Standards. The suggestions will typically consist of the construction of a drainage swale, berms, rain gardens, rain barrels, a small flood/retaining wall or any combination of these based on the site conditions.
8. In the event the problematic area involves multiple properties and/or no means of correcting the standing water by means of surface drainage (as stated above) the Village may consider the installation of private storm sewer drainage structures and connecting storm sewer pipe to the Village storm sewer system including a permanent 2 ½ inch restrictor prior to entering the Village system. In accordance with the stipulations below of this SOP, the property owner can then undertake these suggestions in order to improve the drainage problem, if desired with Village reimbursement cost participation, which will be dependent upon available budgeted funds and approval by Village Staff if qualifying for this program.
9. If the property owner desires to move forward with improving the drainage concern, a minimum of three comparable bids from private contractors must be obtained by the property owner to construct the agreed upon solution between the homeowner and the Village. If three bids can not be obtained by the property owner, it will be at the discretion of the Village Engineer to accept only two bids. No projects will be considered if only one bid is submitted. Be advised that the home owner's suggested plan may need to be refined in order to address specific site conditions, which will be the responsibility of the selected contractor or other property owner representative.

The three contractor bids along with the concept plan will need to be submitted to the Public Works Department for review and approval. If the plan does not meet Village requirements review comments will be provided. This is necessary to ensure that all work and materials conform to Village standards. If the property owner desires to utilize a contractor that is not the lowest bidder, the Village's reimbursement funding amount will be based on the lowest bid and the homeowner will be responsible for the balance. The contract for this work is between the property owner and the contractor the property owner hires.

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Once the plan and lowest bid are approved, a Permit will be required from the Building & Development Department, all permit fees will be waived by the Village. All work must be completed, including restoration, and inspected by the Public Works Department. Receipt of the contractor's waiver of lien showing the project is paid in full from the homeowner must also be received by the Public Works Department prior to authorizing reimbursement to the property owner. In addition, all projects need to be entirely completed within 60 calendar days from the approval of the plan. The finance department must receive the W-9 form from the homeowner to release the reimbursement check. Reimbursement is based on lowest bid. The reimbursement funds will be paid out on a "first come first serve" basis and the total amount available may vary from year to year.

10. All correspondence pertaining to the inquiry, including the preparation or implementation of any plan supplied by the property owner, private contractor bids and reimbursement information will be filed in the Village's Property Address database.
11. The Village Engineer has the authority to include projects in the Cost Share Participation Program that do not strictly qualify according to limitations above. Property owner appeals of Staff suggestions and qualifications are to be heard by the Village's Stormwater Management Commission. The Stormwater Management Commission will make every attempt to resolve the points of contention. If unable to resolve the issue, the matter may proceed to the Village Board along with the Commission's suggestions.
12. If the property owner decides not to move forward with suggestions for drainage improvements for the property within 60 days as approved by Village Staff, the property owner will forfeit their opportunity to qualify for Village funding for that budget year and will be eligible for funding the following budget year if funds are authorized.
13. The property owner must contact the Development and Planning Department at 847-664-4050 to obtain the permit to start the work and to schedule all required inspections, and Public Works at 847-272-4711 to receive final approval of the completed drainage improvements; and provide proof of payment in full, in the form of a waiver of lien from the contractor, for all cost associated with the installation of said drainage improvements.
14. The Village shall make reimbursement payments to Property Owners only, not to contractors or suppliers. Payment requests will follow the procedures outlined in the Village's Standard Operation Procedure "FI-30-007 Payment of Invoices". The resident will need to fill out and submit the W-9 form to the finance department to receive their reimbursement check.
15. Any storm system installed using this program, including but not limited to underground pipe and drain, swales, lot grading, raingarden, rain barrels or any other system, is the private storm system of the resident on whose property it is installed and must be maintained by that property owner and any future property owner of the property.
16. In the event there is a substantial improvement to the property (SFR, SFRAD, Patio, Swimming Pool, etc.) that will require the installation of drainage or private storm sewer improvements within a five year period following the date of reimbursement by the Village for cost participation funds; a refund by the property owner shall be required. The property owner refund shall be 100% of the Village's cost participation within one year of payment, 80% for the second year, 60% for the third year, 40% for the fourth year and 20% for the fifth year originated from the date of the reimbursement check for the participation in this Private Property Drainage/Flood Protection Cost Participation Program.

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DEFINITIONS:

Overland Drainage: Tributary drainage (flow of water) into and through a property that must be maintained in accordance with Illinois Drainage Law.

Permit: A Permit for the installation of a drainage structure and storm sewer pipe and/or lawn grading will be required to be obtained by the contractor from the Development & Planning Services Department. No fee will be charged for any Permit obtained under the implementation of this Program, however if any work is to take place within Village right-of-way a refundable Frontage Deposit of \$500.00 will be required.

Positive Drainage Outlet: A connection, either by a pipe or overland drainage swale, to a public storm sewer or drainage swale system that is at a lower elevation than the subject private property and can adequately drain said property under normal (low) flow conditions.

Project: A Drainage improvement that will involve and benefit one or more properties.

Standing (ponding) water: Visual water standing on the surface of the ground (a minimum of 72 hrs. after the last rain has stopped), as inspected by Public Works Department personnel.

Total Project Cost: All construction costs for the identified suggestions to improve the problem, which will consist of drainage structures, storm sewer pipe, drainage swales, berms, flood walls, rain garden and restoration of disturbed lawn surfaces. Private engineering design, attorney and other "soft" costs are not included and are not reimbursable by the Village.

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ATTACHMENTS:

1. Field Inspection Report.
2. PVC Yard Drain Detail.
3. Village Standard Pipe Bedding/Backfill Detail.
4. Drainage Swale Detail.
5. Sample Concept (Preliminary) Plan provided from resident to Village Staff.
6. Section IV.K (Material Specifications) from Standards and Specifications for Public and Private Improvements.
7. Final Contractor Waiver of Lien for property owner reimbursement check share.
8. W-9 Form.



**VILLAGE OF NORTHBROOK
PUBLIC WORKS DEPARTMENT**

655 Huehl Road
Northbrook, Illinois 60062
Tel: 847-272-4711
Fax: 847-412-5824

DRAINAGE INQUIRY REPORT

SHEET ____ OF ____

INQUIRY DATE: _____

SITE VISIT DATE: _____

NAME: _____ PHONE: _____

ADDRESS: _____ EMAIL: _____

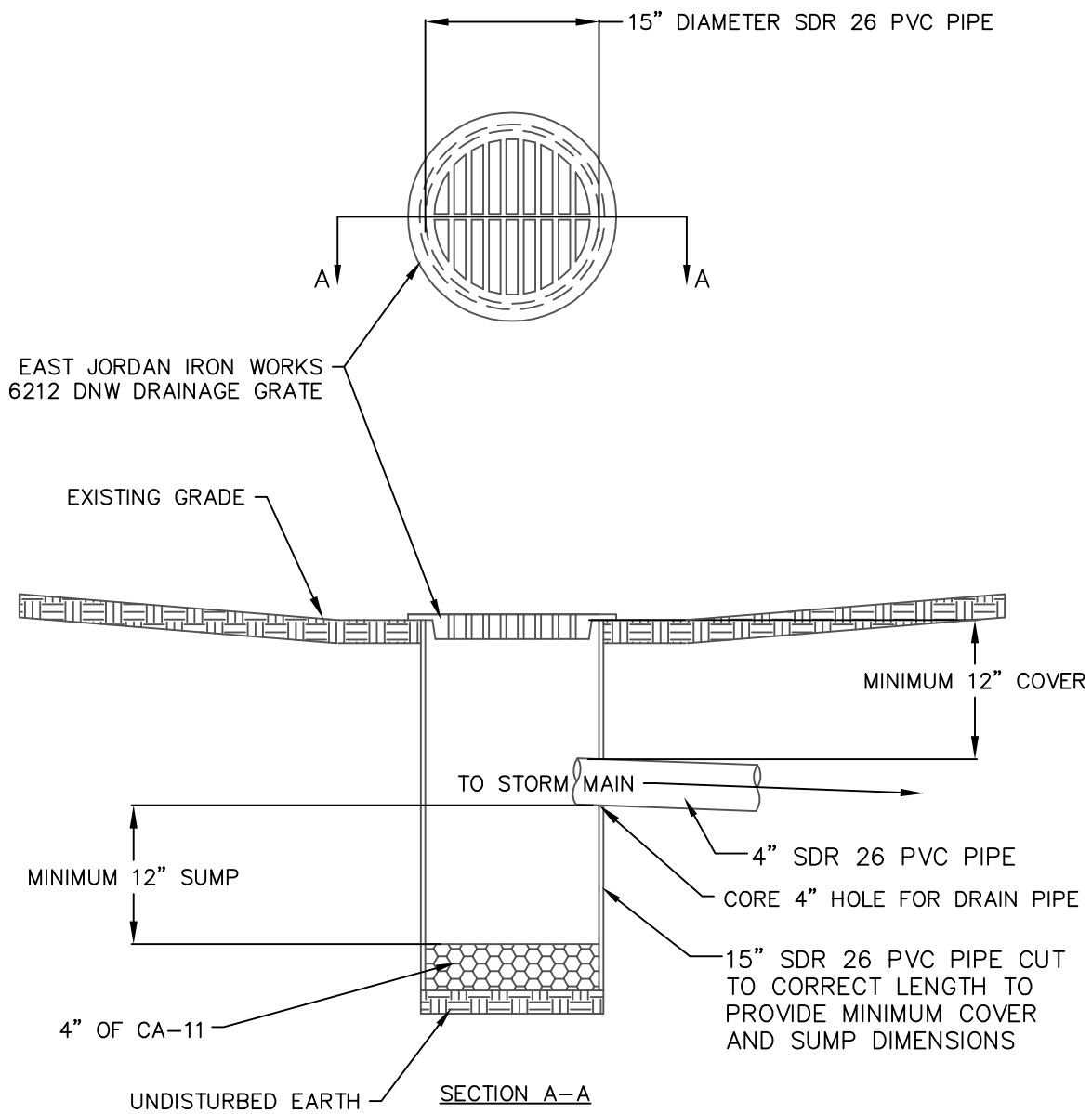
TYPE OF INSPECTION:

- | | | | |
|---|--|--|---|
| <input type="checkbox"/> FRONT YARD | <input type="checkbox"/> BASEMENT FLOODING | <input type="checkbox"/> WINDOW WELLS | <input type="checkbox"/> ILLEGAL SUMP PUMP |
| <input type="checkbox"/> REAR YARD | <input type="checkbox"/> SUMP PUMP | DRAINS YES/NO | <input type="checkbox"/> ILLEGAL GRADE CHANGE |
| <input type="checkbox"/> SIDE YARD | OVERFLOW/RUNNING | <input type="checkbox"/> MAINTENANCE CONCERN | <input type="checkbox"/> ILLEGAL DOWNSPOUTS |
| <input type="checkbox"/> SWALE BLOCKAGE | AIR GAP YES/NO | | <input type="checkbox"/> STREET FLOODING |
| <input type="checkbox"/> NEW CONSTRUCTION | SPLASH ON GRADE | | <input type="checkbox"/> ICING PROBLEM |
| <input type="checkbox"/> OTHER _____ | | | |

- ☐ VILLAGE COST SHARE PROGRAM YES/NO
- ☐ APPROVED ☐ PARTIAL APPROVAL AS NOTED ☐ NOT APPROVED ☐ RE-INSPECTION REQUIRED
- ☐ RESIDENT NOT HOME. FOLLOW UP.

Inspector Signature

Owner/Contractor Signature

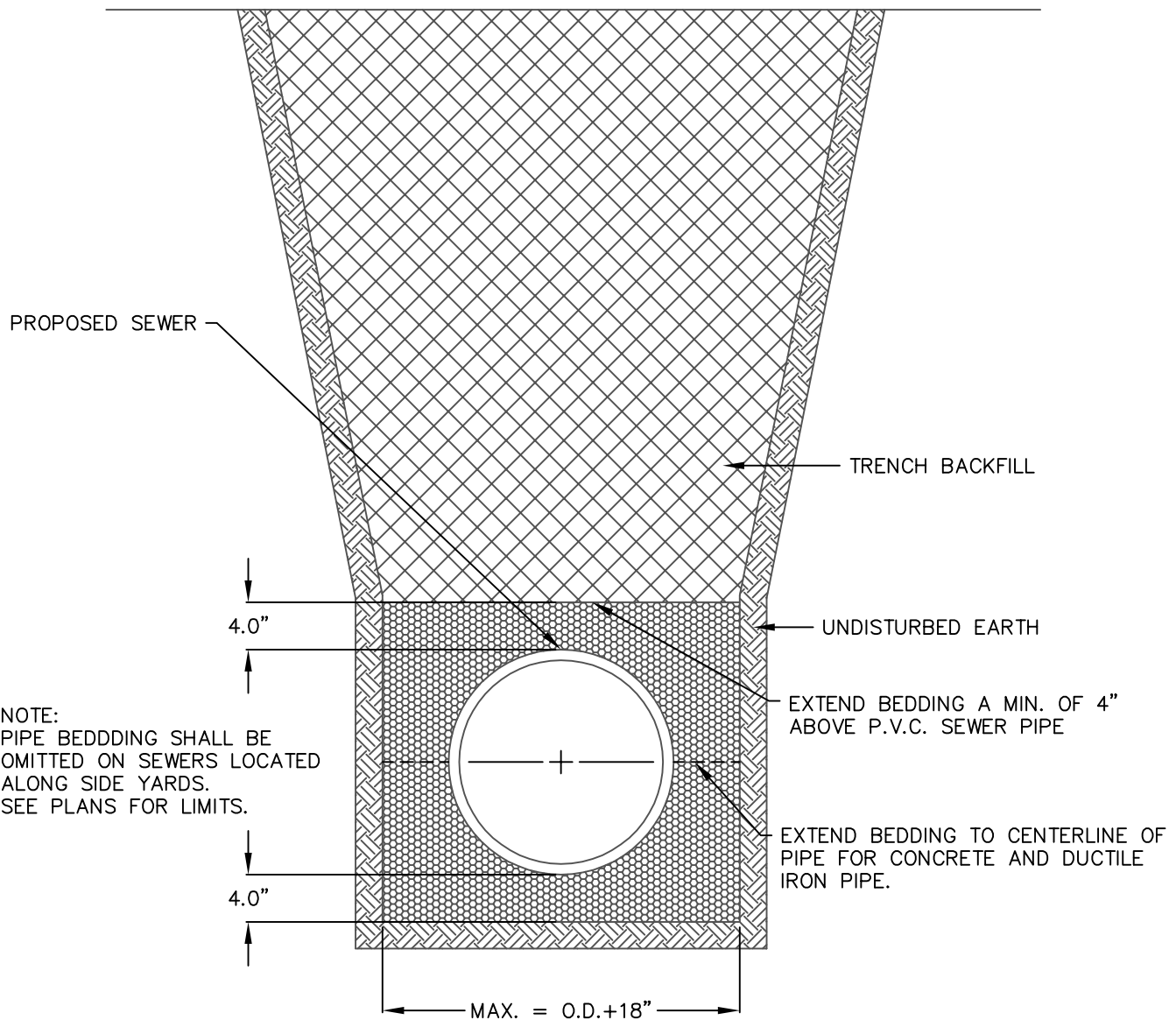


PVC YARD DRAIN DETAIL

TRENCH BACKFILL FOR PAVED AREAS:
CA-6 CRUSHED LIMESTONE
OR APPROVED EQUAL

TRENCH BACKFILL FOR NON-PAVED AREAS:
FINELY DIVIDED EXCAVATED MATERIAL
FREE FROM ROCKS AND DEBRIS

BEDDING STONE:
CA-11

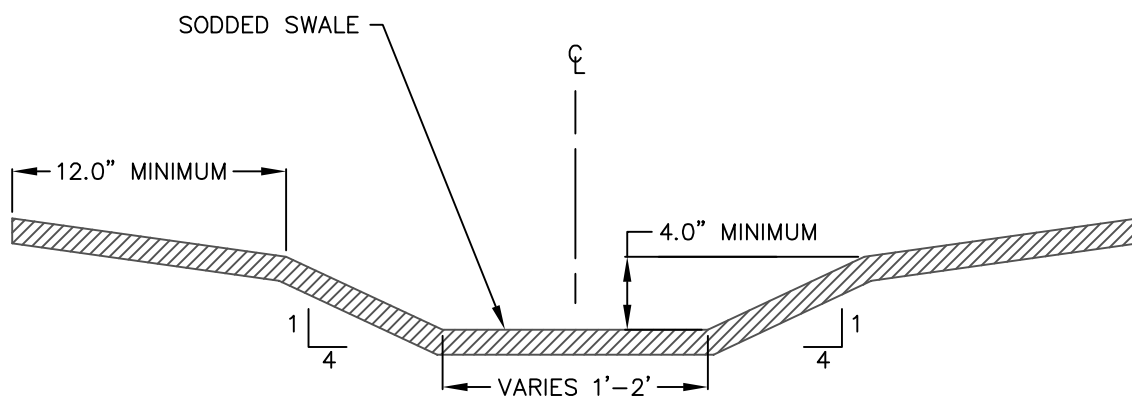


SEWER PIPE TRENCH DETAIL

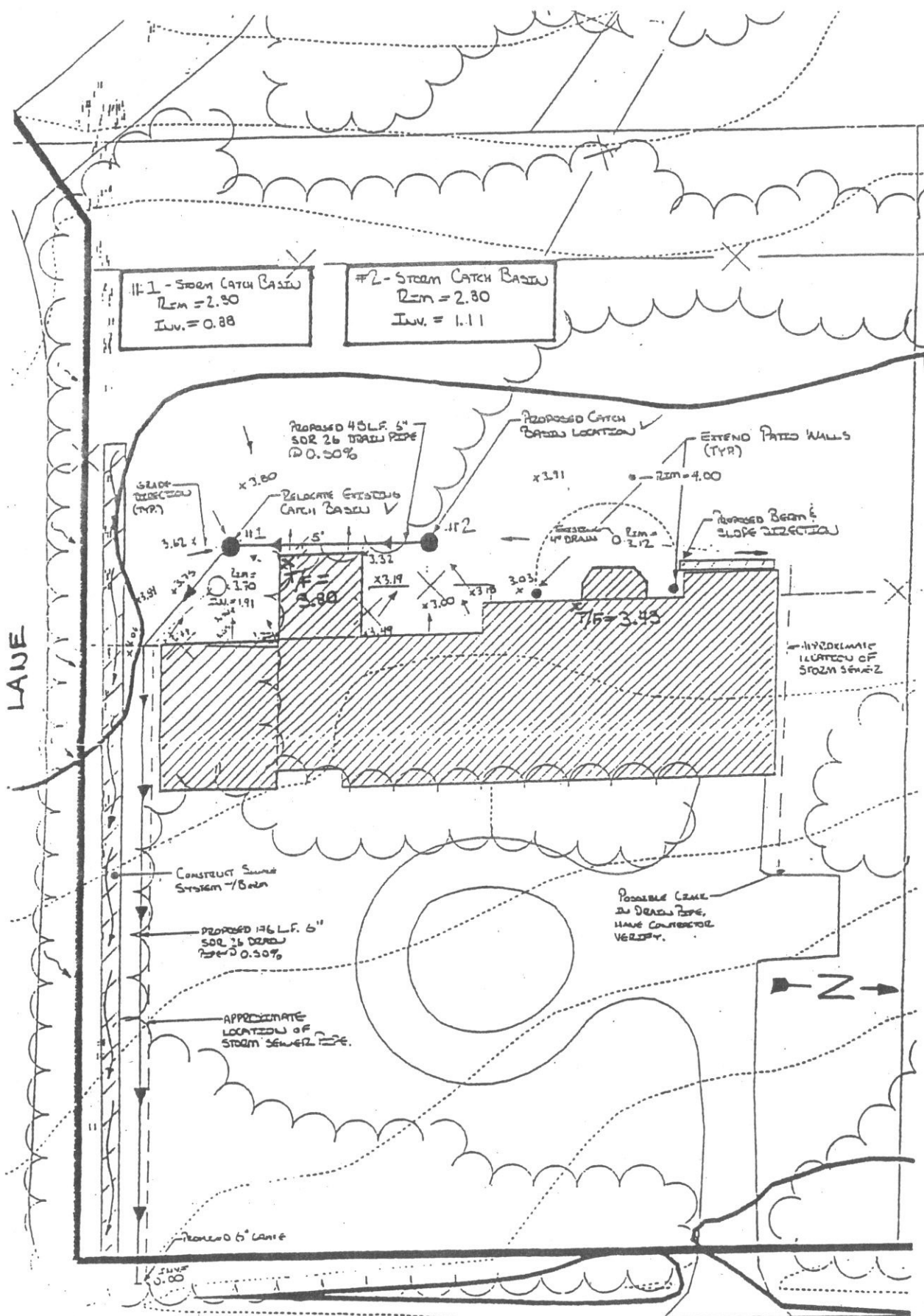
STANDARD DETAILS
2014



VILLAGE OF NORTHBROOK
PUBLIC WORKS DEPARTMENT



SWALE DETAIL



"CONCEPT PLAN"

K. MATERIAL SPECIFICATIONS

All storm sewer system elements shall conform to the following specifications:

1. Sewer Pipe

- (a) Sump pump services (4") and small storm sewer lines (6" to 10") – PVC SDR 26 sewer pipe ASTM D-3034 or Ductile Iron Class 52 pipe.
- (b) Reinforced concrete pipe (12 inch diameter and larger), circular reinforcement, minimum Class III, ASTM C76.
- (c) Reinforced concrete arch culvert pipe - double line reinforcement, minimum Class III, ASTM C506.
- (d) Reinforced concrete elliptical culvert pipe - minimum Class HE-III or VE-III, ASTM C507.
- (e) PVC underdrain pipe (4 and 6 inch diameter) - ASTM D2729, SDR26.

2. Sewer Pipe Joints

- (a) PVC pipe - ASTM D3212, push-on type, except underdrain pipe, which shall have solvent, welded joints.
- (b) Reinforced concrete pipe - ASTM C443 ("O" ring), or mastic joint sealer.
- (c) Reinforced concrete arch or elliptical pipe - ASTM C877.

3. Casing Pipes

Steel pipe - ASTM A120, 3/8 inch minimum wall thickness with 1/2 inch bond weld, bituminous coated.

4. Manholes and Catch Basins

- (a) Precast circular reinforced concrete structures - ASTM C478 and ASTM C443.
- (b) Size:
 - For sewers 18 inches in diameter or less, manholes shall have a 48-inch inside diameter.
 - For sewers 21 to 36 inch in diameter, manholes shall have a 60" inside diameter.
 - For sewers greater than 36 inches in diameter, manholes shall have an offset riser pipe of 48 inch inside diameter.
 - Inlets shall have 24 inch inside diameter and a maximum depth of four (4) feet.

(c) Adjustment:

- No more than three (3) precast concrete adjusting rings with a twelve (12) inch maximum height adjustment shall be allowed.

(d) Pipe and frame seals:

- All pipe connection openings shall be precast with mastic watertight pipe to manhole seals. External flexible watertight sleeves may also be used from the manhole cone to the manhole frame.

(e) Bottom sections:

- All bottom sections shall be precast concrete including bases and poured concrete invert flowlines.
- Catch basins shall have a minimum diameter of 48 inches and sumps of 30 inches.

5. Castings

- (a) Manhole frame and cover - Neenah No. R-1712 embossed "STORM SEWER", or Neenah R-1772-C in grass areas.
- (b) Manhole steps - Neenah No. R-1981-I or approved plastic.
- (c) Six (6) inch curb and gutter inlets – East Jordan 7220 catch basin curb inlet, heavy duty with M1 grate and T1 back.
- (d) Four- (4) inch curb and gutter inlets - Neenah No. R-2015 or Neenah No. R-3501-D2A.
- (e) Yard inlets - Neenah No. R-4340-B.
- (f) Parking lot inlets - Neenah No. R-2502.
- (g) Neenah "Vane" type open grates shall be utilized in gutter sections roadway troughs to improve the hydraulic capacity where dictated by flow calculations (Neenah R-3588-L or R-3501-TR).
- (h) All grates shall be bicycle-safe, as applicable.

6. Crushed Granular Bedding

Crushed aggregate - CA-7, CA-11, or approved equal.

7. Headwalls/Flared End Sections

Storm pipes discharging to rivers or streams shall terminate at a reinforced concrete headwall with wing walls or with a precast concrete flared end section and rip-rap, as

permitted by the Village Engineer, IDOT (Division of Water Resources) and/or U.S. Army Corp. of Engineers.

Approved grating and/or screens with locking devices shall be installed on all end sections and headwalls unless waived by the Village Engineer.

8. Loadings

The depth to which a particular type or class of pipe may be used shall be selected to provide protection against structural failure when subject to all future dead loads, live loads and impact. For design purposes, live load plus impact shall be assumed to be in no case less than that resulting from a surcharge at the ground surface of 250 pounds per square foot.

In computing trench loading, the Marston formula or table based on the Marston formula shall be used with proper consideration for pipe material, class, trench width and depth.

9. Remedial Residential Work

In existing residential areas where remedial drainage work is being performed, other types of plastic pipe and drainage structures such as those supplied by Advanced Drainage Systems (ADS) and Nyloplast Engineered Surface Drainage Products may be used with written approval from the Village Engineer.



STATE OF ILLINOIS

COUNTY OF _____

FINAL WAIVER OF LIEN

Gty # _____

Escrow # _____

TO WHOM IT MAY CONCERN:

WHEREAS the undersigned has been employed by _____
to furnish _____
for the premises known as _____
of which _____ is the owner.

THE undersigned, for and in consideration of _____
(\$ _____) Dollars, and other good and valuable considerations, the receipt whereof is hereby acknowledged, do(es)
hereby waive and release any and all lien or claim of, or right to, lien, under the statutes of the State of Illinois, relating to mechanics'
liens, with respect to and on said above-described premises, and the improvements thereon, and on the material, fixtures, apparatus or
machinery furnished, and on the moneys, funds or other considerations due or to become due from the owner, on account of all labor,
services, material, fixtures, apparatus or machinery, heretofore furnished, or which may be furnished at any time hereafter, by the
undersigned for the above-described premises, INCLUDING EXTRAS.*

DATE _____ COMPANY NAME _____
ADDRESS _____

SIGNATURE AND TITLE _____

*EXTRAS INCLUDE BUT ARE NOT LIMITED TO CHANGE ORDERS, BOTH ORAL AND WRITTEN, TO THE CONTRACT

CONTRACTOR'S AFFIDAVIT

STATE OF ILLINOIS

COUNTY OF _____

TO WHOM IT MAY CONCERN:

THE UNDERSIGNED, (NAME) _____ BEING DULY SWORN, DEPOSES
AND SAYS THAT HE OR SHE IS (POSITION) _____ OF
(COMPANY NAME) _____ WHO IS THE
CONTRACTOR FURNISHING _____ WORK ON THE BUILDING
LOCATED AT _____
OWNED BY _____

That the total amount of the contract including extras* is \$ _____ on which he or she has received payment of
\$ _____ prior to this payment. That all waivers are true, correct and genuine and delivered unconditionally and that
there is no claim either legal or equitable to defeat the validity of said waivers. That the following are the names and addresses of all
parties who have furnished material or labor, or both, for said work and all parties having contracts or sub contracts for specific
portions of said work or for material entering into the construction thereof and the amount due or to become due to each, and that the
items mentioned include all labor and material required to complete said work according to plans and specifications:

NAMES AND ADDRESSES	WHAT FOR	CONTRACT PRICE INCLDG EXTRAS*	AMOUNT PAID	THIS PAYMENT	BALANCE DUE
TOTAL LABOR AND MATERIAL INCLUDING EXTRAS* TO COMPLETE.					

That there are no other contracts for said work outstanding, and that there is nothing due or to become due to any person for material,
labor or other work of any kind done or to be done upon or in connection with said work other than above stated.

DATE _____ SIGNATURE: _____

SUBSCRIBED AND SWORN TO BEFORE ME THIS _____ DAY OF _____,

*EXTRAS INCLUDE BUT ARE NOT LIMITED TO CHANGE
ORDERS, BOTH ORAL AND WRITTEN, TO THE CONTRACT._____
NOTARY PUBLIC

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.

1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.	
2 Business name/disregarded entity name, if different from above	
3 Check appropriate box for federal tax classification; check only one of the following seven boxes: <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) ▶ _____ Note. For a single-member LLC that is disregarded, do not check LLC; check the appropriate box in the line above for the tax classification of the single-member owner. <input type="checkbox"/> Other (see instructions) ▶ _____	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>
5 Address (number, street, and apt. or suite no.)	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 Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

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

Social security number									
				-				-	
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 on page 3.

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

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

Future developments. Information about developments affecting Form W-9 (such as legislation enacted after we release it) is at www.irs.gov/fw9.

Purpose of Form

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

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

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

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

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

By signing the filled-out form, you:

- Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
- Certify that you are not subject to backup withholding, or
- 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
- Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct. See *What is FATCA reporting?* on page 2 for further information.