

## **Specialty Provider Check List**

The following items must be submitted to CDN in order to process your application.

- Specialty Provider Agreement signed by CONTRACTING dentist—no delegated signatures allowed (enclosed).
- Individual Dentist Information for CONTRACTING dentist and signed by CONTRACTING dentist only (enclosed).
- Dental Facility Information (enclosed)
- W-9 Request for Taxpayer Identification Number and Certification (enclosed)

### **For the Contracting Specialist only:**

- Copy of current Dental License
- Copy of current DEA Certificate
- Copy of current CPR Certificate
- Copy of current Malpractice Insurance Declaration Page
- Certificate of Specialty

# **California Dental Network, Inc.**

1971 E. 4<sup>th</sup> Street, Suite 184  
Santa Ana, CA 92705-3917

Phone (714) 479-0777: Toll-Free (877) 4-DENTAL: Fax (714) 479-0779

## **Dental Services Agreement** **For Specialty Referral Providers**

This Agreement is made and entered into this \_\_\_\_ day of \_\_\_\_\_, 20\_\_ by and between California Dental Network, Inc., a California corporation, (hereinafter referred to as "CDN"), and \_\_\_\_\_ (hereinafter referred to as "SPECIALIST").

In consideration of the mutual covenants hereinafter contained, the parties hereby agree:

### **Declarations**

CDN is a Health Care Service Plan licensed by the Department of Managed Health Care under the Knox-Keene Health Care Service Plan Act of 1975 to provide or arrange for dental care to members enrolled under Individual or Group Subscriber Agreements.

SPECIALIST operates and maintains a dental practice in the State of California and wishes to treat CDN members as patients in his/her practice under the terms and conditions of such member's enrollment in CDN.

### **I. MEMBERS ELIGIBLE FOR SERVICES.**

Members eligible for treatment by SPECIALIST under this Agreement shall be only those members covered under a Group or Individual Subscriber Agreement with CDN at the time dental services are rendered and who have been referred to SPECIALIST by CDN with a valid authorization. CDN's authorization shall be in writing and shall set forth the benefits to which the member is entitled, and the amount of copayments, if any, SPECIALIST may charge the member for the authorized services. Before rendering or refusing services to any person claiming to be a CDN member who was not referred by CDN or who does not have a valid authorization, SPECIALIST shall telephone CDN for verification of the person's eligibility status and obtain a valid authorization.

### **II. RENDERING CARE TO ELIGIBLE MEMBERS.**

SPECIALIST shall render all authorized dental services to each member eligible for service under this Agreement during SPECIALIST's regular office hours, and subject to SPECIALIST's usual appointment scheduling practices. Authorized services shall be provided in accordance with the Principle Benefits, Principle Exclusions and Principle Limitations contained in the Group or Individual Subscriber Agreement under which the member is enrolled. SPECIALIST shall have the right, within the framework of professional ethics, to reject any patient seeking SPECIALIST's professional services.

SPECIALIST shall provide appointments to eligible members upon reasonable request, which shall not exceed two weeks for non-emergency cases. SPECIALIST shall also provide 24-hour emergency services and will arrange for coverage of emergencies during vacations and other periods when SPECIALIST's office is closed, or make other arrangements for services.

SPECIALIST should try to render authorized services in the month the authorization is issued. If SPECIALIST cannot render the authorized services in the month the authorization was issued, SPECIALIST should reconfirm the member's eligibility status by calling CDN before authorized services are rendered in any subsequent month.

### **III. SERVICES NOT COVERED AND OTHER FEES DUE DIRECTLY FROM MEMBER.**

It is expressly agreed that SPECIALIST shall look solely to the member, or the member's responsible party, for payment of dental services which are not covered by CDN and for the payment of copayments that are to be paid by the member for certain covered services. CDN shall have no responsibility for the payment of non-covered services or for the patient's

copayments for covered services. SPECIALIST shall bill the member for non-covered services at a rate not to exceed the fees set forth in Attachment A of this Agreement.

**IV. PAYMENT TO SPECIALIST FOR SERVICES UNDER THIS AGREEMENT.**

As payment in full for SPECIALIST's services under this Agreement, CDN shall pay SPECIALIST the amounts set forth in Attachment A to this Agreement.

SPECIALIST shall look solely to CDN for payment of amounts due from CDN under this Agreement, including the fees set forth herein, and members shall not be directly or indirectly liable for amounts due from CDN during the term of this Agreement and/or after termination. SPECIALIST acknowledges that Section 1379 of the Knox-Keene Health Care Service Plan Act prohibits providers, and agents or trustees thereof, from bringing any action at law against a member to collect amounts owed from a Health Care Service Plan.

SPECIALIST agrees that CDN has the right to deduct, offset or withhold from any payment(s) otherwise due SPECIALIST, amounts due from SPECIALIST through SPECIALIST's neglect or failure to fulfill any business or patient obligation that involves CDN's members, operations and/or obligations.

**V. TREATMENT BY ANOTHER SPECIALIST.**

If, in SPECIALIST's professional opinion, a member requires the services of another specialist, SPECIALIST shall submit a completed CDN Specialty Referral form, along with all appropriate records and x-rays to CDN's Dental Director. If CDN's Dental Director agrees with the SPECIALIST's diagnosis, CDN shall refer the member to the proper specialist. If CDN's Dental Director disagrees with SPECIALIST's diagnosis, CDN's Dental Director shall confer with SPECIALIST to discuss the diagnosis and the member's benefits, if applicable.

**VI. DURATION AND TERMINATION OF AGREEMENT.**

This Agreement shall be for a period of one year from CDN's approval date, indicated below, and shall automatically renew for additional one-year periods until terminated. Either party may terminate this Agreement, at any time, by giving a 60-day written notice to the other party by registered or certified mail. Notwithstanding this provision, CDN may terminate this Agreement, immediately upon notice to SPECIALIST if SPECIALIST materially fails to comply with this Agreement or CDN's Quality Assurance requirements, or fails to maintain adequate insurance as required under Section X of this Agreement.

**VII. OBLIGATIONS AFTER NOTICE AND TERMINATION OF AGREEMENT.**

In the event notice of termination is given, by either party, SPECIALIST shall continue to render authorized services and treat members in accordance with this Agreement, as if notice was not given, until the date this Agreement terminates. SPECIALIST shall, at the time a member seeks an appointment and again prior to rendering dental services, notify each member that he/she has given notice of termination with the effective date, or is no longer a participating CDN provider, whichever the case may be at such time. SPECIALIST shall not render any covered dental services to CDN members after the date this Agreement terminates, except that SPECIALIST shall complete all work started prior to the termination date in accordance with the provisions of this Agreement.

SPECIALIST agrees to forward to the member's new specialist or general dentist copies of all patient records and x-rays within 30 days of a request from the member, another specialist or the general dentist treating the member.

Termination of this Agreement does not relieve SPECIALIST of the responsibilities to maintain insurance and indemnify CDN and its agents as set forth in Section X, to maintain and provide access to books and records as set forth in Section XII, or to the dispute resolution procedures set forth in Section XVI of this Agreement.

**VIII. STANDARD OF SPECIALIST CARE.**

SPECIALIST agrees that all services rendered to members under this Agreement shall be in accordance with the high standards of the dental profession for competence, care and concern for the welfare and needs of each member as set forth in the "Principals of Ethics of the American Dental Association" and the "Dental Practice Act" of the State of California. SPECIALIST will not discriminate in the treatment of member patients and agrees to provide services to members equal in all respects to that provided to non-member patients of his/her practice. Furthermore, SPECIALIST shall not discriminate against any group or member, or prospective group or member because of race, color, national origin, ancestry, religion, sex, marital status, sexual orientation or age.

**IX. SPECIALIST-PATIENT RELATIONSHIP.**

SPECIALIST shall maintain the specialist-patient relationship with each member eligible for services under this Agreement and shall be solely responsible to such members for any dental advice and/or treatment. It is expressly agreed between the parties that SPECIALIST is an independent contractor and that neither the member, CDN, nor any group contracting with CDN shall control or dominate the SPECIALIST's practice, practice personnel, facilities or the specialist-patient relationship.

**X. INSURANCE AND INDEMNIFICATION.**

SPECIALIST agrees to carry, at all times during the term of this Agreement and for at least seven years thereafter, such policies of professional liability and other insurance as shall be necessary to insure SPECIALIST and SPECIALIST's employees, agents, associates or affiliates against any claim(s) for damages, personal injury or death caused directly or indirectly in connection with the provision of services, lack of services, or the uses of any property, facilities or equipment under this Agreement. SPECIALIST shall provide CDN with "Certificates of Insurance" from SPECIALIST's insurance carrier(s) to evidence the existence of such coverage(s) in amounts acceptable to CDN. Failure to maintain such insurance is grounds for CDN to immediately terminate this Agreement. CDN may provide copies of such certificate(s) to any group or potential group upon request. SPECIALIST hereby agrees to indemnify and hold harmless CDN and any of CDN's officers, directors, agents, representatives and/or employees from and against all claims, suits, demands, actions, losses, liabilities and expenses, (including, without limitation, actual legal fees and expenses), that may arise out of any; (1) act or omission by SPECIALIST or any of SPECIALIST's employees, agents, associates, or affiliates in connection with any dental services, lack of services, or the uses of any property, facilities or equipment pursuant to this Agreement; (2) breach or failure of SPECIALIST or SPECIALIST's employees, agents, associates, or affiliates to perform any representation, warranties, covenants or term(s) of this Agreement; (3) liability of SPECIALIST, whether contingent, absolute, direct, indirect, matured or unmatured.

**XI. PROHIBITION OF SURCHARGES.**

SPECIALIST shall not surcharge members for covered services. A surcharge, as used herein, is an additional fee which is charged to a member for a covered service but which is not approved by the Commissioner of Corporations, or provided for in the Group or Individual Subscriber Agreement under which the member is enrolled. SPECIALIST must report in writing to CDN all copayments and surcharges paid by members to SPECIALIST, unless the Commissioner of Corporations expressly approves otherwise.

**XII. RECORDS AND REPORTS.**

SPECIALIST shall maintain such records and provide such information to CDN or the Commissioner of Corporations as may be necessary for CDN to comply with the provisions of the Knox-Keene Health Care Service Plan Act of 1975 and the regulations promulgated thereunder. Such records shall be retained for a period of at least five years, the last two years of which shall be in an easily accessible place at SPECIALIST's office. CDN and/or the Commissioner of Corporations shall have access, during normal business hours and with reasonable notice to the books and records, including financial records, and documents of SPECIALIST relating to the dental services provided to CDN members, to the cost of such services and to payments received by SPECIALIST from CDN members, or from others on the member's behalf.

**XIII. SPECIALIST'S PARTICIPATION IN CDN COMMITTEES AND POLICIES.**

DENTIST agrees to cooperate with, participate in and abide by CDN's policies and procedures regarding the administration of it's plan, including but not limited to CDN's Quality Assurance and Peer Review Programs, Grievance Resolution Process, Pubic Policy Participation System, and the Plan's Language Assistance Program Standards."

**XIV. NON-EXCLUSIVE.**

This Agreement is not exclusive in any respect and CDN may enter into similar agreements with other specialists, and SPECIALIST is entitled to enter into similar agreements with other plans.

**XV. ASSIGNABILITY.**

This Agreement is intended to secure the personal services of SPECIALIST, and his/her associates, and therefore may not be assigned or transferred without the written consent of CDN.

**XVI. DISPUTE RESOLUTION.**

The Plan maintains a provider dispute resolution process to deal with all provider complaints. Any disputes or complaints shall be made to CDN in writing or contacting CDN at the address and telephone number indicated herein. Providers will receive a written response within 30 days as to the disposition of the complaint. Appeal of the decisions regarding the provider's complaint may be made in writing to the Plan's Public Policy or Quality Assurance Committee. If the provider is not satisfied with the Public Policy or Quality Assurance Committee's decision, the provider may pursue binding arbitration in accordance with the rules of the American Arbitration Association. Arbitration shall be held in Orange County, California and judgment upon the award rendered by the arbitrator(s) may be entered in any court having jurisdiction thereof. The prevailing party shall be entitled to recover its costs and reasonable attorneys' fees. In addition, SPECIALIST agrees to comply with any and all arbitration proceedings initiated by members involving CDN, a CDN contractor or CDN employee, agent or representative.

**XVII. GOVERNING LAW.**

The parties agree that the laws of the State of California shall govern the validity, construction and interpretation of this Agreement. SPECIALIST agrees that any amendment to this agreement or any of CDN's manuals, policies or procedures required to meet state or federal laws or regulations governing Knox-Keene Health Care Service Plans, or any accreditation requirements of a private sector accreditation organization to which CDN participates, shall automatically become part of this Agreement. In the event of any inconsistency between this agreement and such laws, regulations or accreditation requirements, the applicable laws, regulations or accreditation requirements shall prevail over any provision of this Agreement. In the event a court or arbitrator(s) with component jurisdiction determines that any provision of this Agreement is invalid, for any reason, the remaining provisions of this Agreement shall be binding upon the parties.

**XVIII. ENTIRE AGREEMENT.**

This Agreement along with any amendments and attachments constitutes the sole and entire contract and understanding between the parties hereto with respect to the subject matter hereto and no amendment to this agreement shall be effective unless it is in writing and sign by an authorized representative of CDN. CDN may from time to time amend this agreement by providing SPECIALIST with a 30 day written notice of the changes. Except as set forth in Section XVII, CDN shall not make any material change to this agreement or its manuals, policies or procedures without providing SPECIALIST with a notice of the changes, at least 45 business days before the effective date of the change. SPECIALIST has the right to negotiate and agree to the changes during the notice periods. If CDN and SPECIALIST cannot agree with the changes, SPECIALIST may terminate this agreement prior to the effective date of any change.

**XIX. NOTICES.**

Any notice or other communication required or permitted hereunder shall be in writing, and shall be deemed to have been given if personally delivered or 24 hours after placed in the United States mail, first class postage-paid addressed to:

**SPECIALIST:**

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**CDN:**

Stephen R. Casey, President  
California Dental Network, Inc.  
1971 E. 4<sup>th</sup> St., #184  
Santa Ana, CA 92705-3917

In witness whereof, the parties hereto have entered into this Agreement as of the date indicated above.

**SPECIALIST:** \_\_\_\_\_  
Print Name

**Signature:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**SSN or Federal Tax ID #:** \_\_\_\_\_

**CALIFORNIA DENTAL NETWORK, INC.**

**Signature:** \_\_\_\_\_

**Name/Title:** Stephen R. Casey, President

**Approval Date:** \_\_\_\_\_

\_\_\_\_\_

**Attachment A**  
**Schedule of Reimbursements**

SPECIALIST agrees to accept as payment in full for all services provided to CDN members, whether authorized by CDN or provided to members as non-covered services, the following amounts inclusive of member copayments, where applicable:

70 Percent (70%) of SPECIALIST's Usual and Customary Fees.

For purposes of this Agreement, SPECIALIST's Usual and Customary Fees shall not exceed the 85<sup>th</sup> percentile of the fees in the SPECIALIST's area as determined by Health Insurance Association of America (HIAA) or such other schedule used by CDN.



**Provider Application  
Individual Dentist Information**

(Must be completed for each dentist who will treat CDN Members)

**Dentist:**

Full Name \_\_\_\_\_  
(Please Print)

Degree(s) \_\_\_\_\_

Social Security Number \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_

Date of Birth \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_

CA Dental License #'s \_\_\_\_\_

DEA Number \_\_\_\_\_

**Education/Training:**

Undergraduate School \_\_\_\_\_ Degree \_\_\_\_\_ Year Graduated \_\_\_\_\_

Post Graduate School \_\_\_\_\_ Degree \_\_\_\_\_ Year Graduated \_\_\_\_\_

Dental School \_\_\_\_\_ Degree \_\_\_\_\_ Year Graduated \_\_\_\_\_

Residency \_\_\_\_\_  
Facility \_\_\_\_\_ Location \_\_\_\_\_

Specialty Field \_\_\_\_\_ Dates \_\_\_\_\_

Other Training Programs \_\_\_\_\_  
Facility \_\_\_\_\_ Location \_\_\_\_\_

Specialty Field \_\_\_\_\_ Dates \_\_\_\_\_

**Professional Associations:**

Membership in dental societies and associations: \_\_\_\_\_

Positions of responsibility in local, state or national dental associations: \_\_\_\_\_

Dental school or other teaching appointments: \_\_\_\_\_

**Scope of Practice:**

(General Dentists Only)

Please check the service that you routinely perform for your patient.

- Periodontics
- \_\_\_ Scaling/Root Planning
- \_\_\_ Soft tissue management
- \_\_\_ Surgery

- Endodontics
- \_\_\_ Anterior root canals
- \_\_\_ Bicuspid root canals
- \_\_\_ First molars
- \_\_\_ Second molars
- \_\_\_ Apical surgery

- Oral Surgery
- Surgical removal of:
- \_\_\_ Erupted tooth
- \_\_\_ Soft tissue impactions
- \_\_\_ Partial bony impactions
- \_\_\_ Full bony impactions

**(Over)**

**Liability Coverage:**

Liability Carrier \_\_\_\_\_

Policy Number \_\_\_\_\_ Expiration Date \_\_\_\_\_

Amount of Coverage Per Occurrence \_\_\_\_\_ Aggregate \_\_\_\_\_

Do you have any pending malpractice cases/claims against you? Yes \_\_\_ No \_\_\_

Number of prior malpractice settlements/judgments \_\_\_\_\_

***For each malpractice action, please attach an explanation, which includes the facts of each action and the amount of settlement.***

**Licensure:**

Have you ever:

Had your license, in any state, suspended, revoked, restricted or limited? Yes \_\_\_ No \_\_\_

Been conviction, or pleaded guilty to a felony, moral or ethical crime? Yes \_\_\_ No \_\_\_

Had any chronic illnesses, physical defects or addiction, that would impair your ability to practice dentistry? Yes \_\_\_ No \_\_\_

Had your membership denied, not renewed, or been subject to disciplinary proceedings in any dental organization? Yes \_\_\_ No \_\_\_

Been licensed to practice dentistry in another state, or under another name? Yes \_\_\_ No \_\_\_

***Please attach an explanation for any questions answered "Yes".***

**Certification & Release of information:**

The undersigned hereby certifies that the above information is true, correct and complete to the best of my knowledge, and that the intentional submission of false or misleading information or withholding of relevant information is grounds for denial or termination as a participating provider with California Dental Network, Inc., or any of its affiliated organizations. The undersigned hereby authorizes California Dental Network, Inc., to consult individuals, groups and/or organizations having information concerning my education, training, qualifications or experience, including malpractice claims history, and to inspect all pertinent documentation. The undersigned hereby releases California Dental Network, Inc., and its representatives and affiliates from any liability for their acts performed in good faith and without malice in evaluating my credentials and qualifications including any malpractice liability claims information, and do hereby further release all individuals and organizations which provide information to California Dental Network, Inc. regarding my professional competence, ethics, character and other qualifications or affiliations, including malpractice claims information, from any liability provided they are acting in good faith and without malice. The undersigned hereby agrees to notify California Dental Network, Inc. in a timely manor of any changes in the above information.

NAME: \_\_\_\_\_  
(Please Print or Type)

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**Provider Application  
Dental Facility Information**  
(Use a separate form for each Location)

**Dental Facility:**

Name of Practice \_\_\_\_\_  
(As you want it to appear in our provider directory)

Street Address \_\_\_\_\_

City \_\_\_\_\_ County \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

Mailing Address, If Different \_\_\_\_\_

City \_\_\_\_\_ County \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

Office Numbers:  
Phone (\_\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_ Fax (\_\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_

Legal Entity: Corporation \_\_\_\_\_ Partnership \_\_\_\_\_ Sole Proprietor \_\_\_\_\_ Tax I.D. Number \_\_\_\_\_

Principal Owner(s):	Dental License #
_____	_____
_____	_____

**Principal Contacts:**

Dentist \_\_\_\_\_ Phone (\_\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_ Ext. \_\_\_\_\_

Administrator \_\_\_\_\_ Phone (\_\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_ Ext. \_\_\_\_\_

**Staffing:**

Office Staff (FTE's):  
Dentists \_\_\_\_\_ Hygienists \_\_\_\_\_ RDA's/DA's \_\_\_\_\_ Admin Staff \_\_\_\_\_

Associate Dentist(s) Name	Dental License #	Specialty	Hours/Week
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

(Complete an "Individual Dentist Information" form for each Owner and Associate)

**Availability/Capacity:**

Office Hours:  
Mon: \_\_\_\_\_ Tues: \_\_\_\_\_ Wed: \_\_\_\_\_ Thurs: \_\_\_\_\_ Fri: \_\_\_\_\_ Sat: \_\_\_\_\_ Sun: \_\_\_\_\_

# of Operatories: \_\_\_\_\_ Patient Base: \_\_\_\_\_ FFS/Indemnity \_\_\_\_\_% Prepaid \_\_\_\_\_% Denti-Cal \_\_\_\_\_%

Other Managed Care Plans Accepted: \_\_\_\_\_

Appointment availability: New Patient \_\_\_\_\_ Routine \_\_\_\_\_ Hygiene \_\_\_\_\_ Emergency \_\_\_\_\_

Foreign Languages Spoken: \_\_\_\_\_

**Accessibility:**

Location:

Ground Floor: \_\_\_\_\_ 2<sup>nd</sup> or Higher: \_\_\_\_\_ Elevator: Yes \_\_\_ No \_\_\_ N/A \_\_\_

Free Parking: Yes \_\_\_ No \_\_\_ # of Parking Spaces: \_\_\_\_\_ On site restrooms: Yes \_\_\_ No \_\_\_

Handicap accessible:

Parking: Yes \_\_\_ No \_\_\_ Restrooms: Yes \_\_\_ No \_\_\_ Front Door: Yes \_\_\_ No \_\_\_

Elevator: Yes \_\_\_ No \_\_\_ Operatories: Yes \_\_\_ No \_\_\_ X-Rays: Yes \_\_\_ No \_\_\_

Routine appointment intervals: \_\_\_\_\_ Average waiting time in office with appointment: \_\_\_\_\_

Appointments per dentist/day: \_\_\_\_\_ Describe broken appointment policy & follow up system:

\_\_\_\_\_

Are emergency services available 24 hours a day: Yes \_\_\_ No \_\_\_

Describe how you provide for emergency services in your absence: \_\_\_\_\_

\_\_\_\_\_

Specialists to whom your Practice refers patients:

Endodontist: Name: \_\_\_\_\_ Address: \_\_\_\_\_

\_\_\_\_\_ Phone: (\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_

Name: \_\_\_\_\_ Address: \_\_\_\_\_

\_\_\_\_\_ Phone: (\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_

Periodontist: Name: \_\_\_\_\_ Address: \_\_\_\_\_

\_\_\_\_\_ Phone: (\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_

Name: \_\_\_\_\_ Address: \_\_\_\_\_

\_\_\_\_\_ Phone: (\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_

Oral Surgeon: Name: \_\_\_\_\_ Address: \_\_\_\_\_

\_\_\_\_\_ Phone: (\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_

Name: \_\_\_\_\_ Address: \_\_\_\_\_

\_\_\_\_\_ Phone: (\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_

Pedodontist: Name: \_\_\_\_\_ Address: \_\_\_\_\_

\_\_\_\_\_ Phone: (\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_

Name: \_\_\_\_\_ Address: \_\_\_\_\_

\_\_\_\_\_ Phone: (\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_

# Request for Taxpayer Identification Number and Certification

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

<b>Please print or type</b>	Name (See <b>Specific Instructions</b> on page 2.)	
	Business name, if different from above. (See <b>Specific Instructions</b> on page 2.)	
	Check appropriate box: <input type="checkbox"/> Individual/Sole proprietor <input type="checkbox"/> Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Other ▶ .....	
	Address (number, street, and apt. or suite no.)	Requester's name and address (optional)
City, state, and ZIP code		

<p><b>Part I Taxpayer Identification Number (TIN)</b></p> <p>Enter your TIN in the appropriate box. For individuals, this is your social security number (SSN). <b>However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 2.</b> For other entities, it is your employer identification number (EIN). If you do not have a number, see <b>How to get a TIN</b> on page 2.</p> <p><b>Note:</b> <i>If the account is in more than one name, see the chart on page 2 for guidelines on whose number to enter.</i></p> <div style="text-align: center;"> <table border="1" style="margin: 0 auto; border-collapse: collapse;"> <tr><td colspan="9" style="text-align: center;">Social security number</td></tr> <tr><td style="width: 20px; height: 20px;"> </td><td style="width: 20px; height: 20px;"> </td><td style="width: 20px; height: 20px;"> </td><td style="width: 20px; height: 20px;"> </td><td style="width: 20px; height: 20px;"> </td><td style="width: 20px; height: 20px;"> </td><td style="width: 20px; height: 20px;"> </td><td style="width: 20px; height: 20px;"> </td><td style="width: 20px; height: 20px;"> </td></tr> </table> <p style="margin: 5px 0;">or</p> <table border="1" style="margin: 0 auto; border-collapse: collapse;"> <tr><td colspan="9" style="text-align: center;">Employer identification number</td></tr> <tr><td style="width: 20px; height: 20px;"> </td><td style="width: 20px; height: 20px;"> </td><td style="width: 20px; height: 20px;"> </td><td style="width: 20px; height: 20px;"> </td><td style="width: 20px; height: 20px;"> </td><td style="width: 20px; height: 20px;"> </td><td style="width: 20px; height: 20px;"> </td><td style="width: 20px; height: 20px;"> </td><td style="width: 20px; height: 20px;"> </td></tr> </table> </div>	Social security number																		Employer identification number																		<p>List account number(s) here (optional)</p> <hr/> <p><b>Part II For U.S. Payees Exempt From Backup Withholding</b> (See the instructions on page 2.)</p>
Social security number																																					
Employer identification number																																					

**Part III 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. person (including a U.S. resident alien).

**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 2.)

<b>Sign Here</b>	<b>Signature of U.S. person</b> ▶	<b>Date</b> ▶
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**Purpose of Form**

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

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

- Certify the TIN you are giving is correct (or you are waiting for a number to be issued),
- Certify you are not subject to backup withholding, or
- Claim exemption from backup withholding if you are a U.S. exempt payee.

**If you are a foreign person, use the appropriate Form W-8.** See **Pub. 515, Withholding of Tax on Nonresident Aliens and Foreign Corporations.**

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

**What is backup withholding?** Persons making certain payments to you must withhold and pay to the IRS 31% of such payments under certain conditions. This is called "backup withholding." Payments that may be subject to backup withholding include interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

If you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return, payments you receive will not be subject to backup withholding. **Payments you receive will be subject to backup withholding if:**

- You do not furnish your TIN to the requester, or
- You do not certify your TIN when required (see the Part III instructions on page 2 for details), or
- The IRS tells the requester that you furnished an incorrect TIN, or
- The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or

- You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See the Part II instructions and the separate **Instructions for the Requester of Form W-9.**

**Penalties**

**Failure to furnish TIN.** If you fail to furnish your correct TIN to a requester, you are subject to a penalty of \$50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

**Civil penalty for false information with respect to withholding.** If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a \$500 penalty.

**Criminal penalty for falsifying information.** Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

**Misuse of TINs.** If the requester discloses or uses TINs in violation of Federal law, the requester may be subject to civil and criminal penalties.

## Specific Instructions

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

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

**Sole proprietor.** Enter your **individual** name as shown on your social security card on the "Name" line. You may enter your business, trade, or "doing business as (DBA)" name on the "Business name" line.

**Limited liability company (LLC).** If you are a single-member LLC (including a foreign LLC with a domestic owner) that is disregarded as an entity separate from its owner under Treasury regulations section 301.7701-3, **enter the owner's name on the "Name" line.** Enter the LLC's name on the "Business name" line.

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

**Other entities.** Enter your business name as shown on required Federal tax documents on the "Name" line. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on the "Business name" line.

### 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 an **LLC** that is **disregarded as an entity** separate from its owner (see **Limited liability company (LLC)** above), and are owned by an individual, enter your SSN (or "pre-LLC" EIN, if desired). If the owner of a disregarded LLC is a corporation, partnership, etc., enter the owner's EIN.

**Note:** See the chart on this page 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. Get **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 get Forms W-7 and SS-4 from the IRS by calling 1-800-TAX-FORM (1-800-829-3676) or from the IRS's Internet Web Site at [www.irs.gov](http://www.irs.gov).

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

such payments until you provide your TIN to the requester.

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

### Part II—For U.S. Payees Exempt From Backup Withholding

Individuals (including sole proprietors) are **not** exempt from backup withholding. Corporations are exempt from backup withholding for certain payments, such as interest and dividends. For more information on exempt payees, see the separate Instructions for the Requester of Form W-9.

If you are exempt from backup withholding, you should still complete this form to avoid possible erroneous backup withholding. Enter your correct TIN in Part I, write "Exempt" in Part II, and sign and date the form.

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

### Part III—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, 3, and 5 below indicate otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required).

**1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983.** You must give your correct TIN, but you do not have to sign the certification.

**2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983.** You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

**3. Real estate transactions.** You must sign the certification. You may cross out item 2 of the certification.

**4. Other payments.** You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

**5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified state tuition program payments, IRA or MSA contributions or distributions, and pension distributions.** You must give your correct TIN, but you do not have to sign the certification.

### Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to give your correct TIN to persons who must file information returns with the IRS to

report interest, dividends, and certain other income paid to you, mortgage interest you paid, the acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA or MSA. The IRS uses the numbers for identification purposes and to help verify the accuracy of your tax return. The IRS may also provide this information to the Department of Justice for civil and criminal litigation, and to cities, states, and the District of Columbia to carry out their tax laws.

You must provide your TIN whether or not you are required to file a tax return. Payers must generally withhold 31% of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to a payer. Certain penalties may also apply.

## What Name and Number To Give the Requester

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account)	The actual owner of the account or, if combined funds, the first individual on the account <sup>1</sup>
3. Custodian account of a minor (Uniform Gift to Minors Act)	The minor <sup>2</sup>
4. a. The usual revocable savings trust (grantor is also trustee)	The grantor-trustee <sup>1</sup>
b. So-called trust account that is not a legal or valid trust under state law	The actual owner <sup>1</sup>
5. Sole proprietorship	The owner <sup>3</sup>
For this type of account:	Give name and EIN of:
6. Sole proprietorship	The owner <sup>3</sup>
7. A valid trust, estate, or pension trust	Legal entity <sup>4</sup>
8. Corporate	The corporation
9. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
10. Partnership	The partnership
11. A broker or registered nominee	The broker or nominee
12. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity

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

<sup>2</sup> Circle the minor's name and furnish the minor's SSN.

<sup>3</sup> You must show your individual name, but you may also enter your business or "DBA" name. You may use either your SSN or EIN (if you have one).

<sup>4</sup> List first and circle the name of the legal trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.)

**Note:** If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

