



# D. CARROLL

C O N S T R U C T I O N

P. O. Box 149, Oxford, MS 38655  
119 Heritage Drive, Oxford, MS 38655

Phone: (662) 281-1207

Fax: (662) 281-1209

[www.dcarrollconstruction.com](http://www.dcarrollconstruction.com)

Dear New Supplier/Subcontractor,

We look forward to doing business with your company. In an effort to make sure you are paid correctly and timely, D. Carroll Construction, LLC, is requesting your firm's current information for our supplier/subcontractor database and requests that you complete and return the following items as soon as possible:

- Supplier Information Form, with any applicable certification attached.
- Signed W-9, Request for Taxpayer Identification Number (TIN) and Certification.
- Certification of General and Commercial Liability Insurance.

Please also ensure that the TIN/SSN that you provide is consistent with the name that you supply. If you provide your SSN, please list your full name as it appears on your social security card. If you supply a TIN, please supply the exact name/TIN combination that is on record with the Internal Revenue Service.

If you do not provide this information to us, we are required to withhold 31% of future payments to you and remit those funds to the Internal Revenue Service as income tax withholding. In addition, you may be subject to a \$50 penalty imposed by the Internal Revenue Service. Backup withholding is not a failure to pay you; it is an advance tax payment. You should report all backup withholding as a credit for taxes paid on your federal income tax return.

Please return the completed forms to us as soon as possible so project work or payments to you will not be delayed via fax to (662) 281-1209.

Thank you for your assistance.

Sincerely,

D. Carroll Construction, LLC



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## SUBCONTRACTOR INSURANCE REQUIREMENTS

The Subcontractor will provide the insurance coverage for the life of the Subcontract and will pay all related costs.

Incase any such Work is sublet or subcontracted, the Subcontractor will require the lower-tier Subcontractor similarly to provide the same level o insurance for all the latter's employees.

All insurance coverage, including that provided by the Subcontractor and any lower-tier Subcontractors, will name **D. Carroll Construction, LLC (DCC)**, Architect, and Owner as additional insured.

**Before commencing Work under the Subcontract, the Subcontractor will furnish DCC with certificates of insurance showing type, amount, class of operation covered, effective dates, and date of expiration of policies. The certificates of insurance must contain substantially the following statement:**

*"The insurance covered by this certificate will not be canceled or altered, except after 30 days written notice has been received by TTL and Owner."*

**The Subcontractor will not commence the Work until it has obtained all the insurance required hereunder and has provided certification of the same to DCC, nor will the Subcontractor allow any lower-tier Subcontractor to commence until the insurance specified below has been obtained.** Certifications of insurance shall be attached to this Subcontract as Addenda.

The required insurance is as follows:

- A. Worker's Compensation**.....Statutory limits as required by applicable State or Federal Law
- B. Employer's Liability Insurance-**
  - Aggregate.....\$500,000
  - Per Employee.....\$500,000
  - Per Accident.....\$500,000
- C. Comprehensive General Liability Insurance** providing coverage for claims which may arise directly or indirectly from performance of Work. The amount of insurance to be provided will not be less than:
  - General - Aggregate.....\$2,000,000
  - Products/Completed Operations-Aggregate.....\$1,000,000
  - Personal & Advertising Injury - Each Occurrence.....\$1,000,000
- D. Any Auto Liability -** Bodily Injury and Property Damage Insurance-
  - Combined Single Limit.....\$1,000,000
- E. Umbrella Liability -**
  - Each Occurrence.....\$
  - Aggregate.....\$

**F. Contractor's Pollution Liability Insurance (if required by DCC) -**

Aggregate.....\$ \_\_\_\_\_  
Each Claim.....\$ \_\_\_\_\_

G. DCC will not carry insurance coverage for the theft of any materials, tools or equipment of the Subcontractor.

**ALL SUBCONTRACTORS AND SUPPLIERS NOT MEETING THE INSURANCE REQUIREMENTS NOTED ABOVE PRIOR TO COMMENCING WORK WILL BE CONSIDERED UNINSURED AND WILL HAVE INSURANCE DEDUCTED FOR ASSOCIATED TRADE.**

Mailing Address: D. Carroll Construction, LLC  
P.O. Box 149  
Oxford, MS 38655

Physical Address: D. Carroll Construction, LLC  
119 Heritage Drive  
Oxford, MS 38655



# D. CARROLL CONSTRUCTION

[www.dcarrollconstruction.com](http://www.dcarrollconstruction.com)

## SUPPLIER/SUBCONTRACTOR INFORMATION FORM

We are requesting the following annual certification and information. Please have the certification statement signed by your firm's authorized representative and returned as soon as possible to **D. Carroll Construction, LLC**.

Please type or print all information supplied

Company Name \_\_\_\_\_  
Physical address \_\_\_\_\_  
City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Remit address \_\_\_\_\_  
City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Alternative Contact \_\_\_\_\_ Title \_\_\_\_\_  
Telephone \_\_\_\_\_ Fax \_\_\_\_\_ Email \_\_\_\_\_

(1) Taxpayer Identification Number (If company, Employer ID #, If individual, Social Security #)  
EIN \_\_\_\_\_ SSN \_\_\_\_\_

(2) Business Type: \_\_\_\_\_ Corporation \_\_\_\_\_ LLC \_\_\_\_\_ Partnership \_\_\_\_\_ Sole Proprietor  
Number of Employees \_\_\_\_\_ Year Established \_\_\_\_\_

(3) Credit Terms \_\_\_\_\_ Dun & Bradstreet No. \_\_\_\_\_

(4) Type(s) of transaction for which we would make payment to you:  
\_\_\_\_\_ Materials \_\_\_\_\_ Rentals \_\_\_\_\_ Services

(5) Type of Services offered/supplied distributed (include NAIC code(s) if known):  
\_\_\_\_\_  
\_\_\_\_\_

(6) States in which you are currently licensed to work: \_\_\_\_\_  
\_\_\_\_\_

The information contained on this form is true and accurate to the best of my knowledge.

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

Print name of the Signatory above \_\_\_\_\_ Title of Signatory \_\_\_\_\_



**Example.** Article 20 of the U.S.-China income tax treaty allows an exemption from tax for scholarship income received by a Chinese student temporarily present in the United States. Under U.S. law, this student will become a resident alien for tax purposes if his or her stay in the United States exceeds 5 calendar years. However, paragraph 2 of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first protocol) and is relying on this exception to claim an exemption from tax on his or her scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

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

**What is backup withholding?** Persons making certain payments to you must under certain conditions withhold and pay to the IRS 30% of such payments (29% after December 31, 2003; 28% after December 31, 2005). 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.

You will **not** be subject to backup withholding on payments you receive 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 be subject to backup withholding if:**

1. You do not furnish your TIN to the requester, or
2. You do not certify your TIN when required (see the Part II instructions on page 4 for details), or
3. The IRS tells the requester that you furnished an incorrect TIN, or
4. 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
5. 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 instructions below 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 entered 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.

**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.

**Note:** You are requested to check the appropriate box for your status (*individual/sole proprietor, corporation, etc.*).

### Exempt From Backup Withholding

If you are exempt, enter your name as described above and check the appropriate box for your status, then check the "Exempt from backup withholding" box in the line following the business name, sign and date the form.

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.

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

**Exempt payees.** Backup withholding is **not required** on any payments made to the following payees:

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; or
  5. An international organization or any of its agencies or instrumentalities.
- Other payees that **may be exempt** from backup withholding include:
6. A corporation;
  7. A foreign central bank of issue;
  8. A dealer in securities or commodities required to register in the United States, the District of Columbia, or a possession of the United States;

9. A futures commission merchant registered with the Commodity Futures Trading Commission;

10. A real estate investment trust;

11. An entity registered at all times during the tax year under the Investment Company Act of 1940;

12. A common trust fund operated by a bank under section 584(a);

13. A financial institution;

14. A middleman known in the investment community as a nominee or custodian; or

15. A trust exempt from tax under section 664 or described in section 4947.

The chart below shows types of payments that may be exempt from backup withholding. The chart applies to the exempt recipients listed above, 1 through 15.

If the payment is for . . .	THEN the payment is exempt for . . .
Interest and dividend payments	All exempt recipients except for 9
Broker transactions	Exempt recipients 1 through 13. Also, a person registered under the Investment Advisers Act of 1940 who regularly acts as a broker
Barter exchange transactions and patronage dividends	Exempt recipients 1 through 5
Payments over \$600 required to be reported and direct sales over \$5,000 <sup>1</sup>	Generally, exempt recipients 1 through 7 <sup>2</sup>

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

<sup>2</sup> However, the following payments made to a corporation (including gross proceeds paid to an attorney under section 6045(f), even if the attorney is a corporation) and reportable on Form 1099-MISC are **not exempt** from backup withholding: medical and health care payments; attorneys' fees; and payments for services paid by a Federal executive agency.

## 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-owner LLC that is disregarded as an entity separate from its owner (see **Limited liability company (LLC)** on page 2), enter your SSN (or EIN, if you have one). If the LLC is a corporation, partnership, etc., 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 on-line at [www.ssa.gov/online/ss5.html](http://www.ssa.gov/online/ss5.html). 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 get Forms W-7 and SS-4 from the IRS by calling 1-800-TAX-FORM (1-800-829-3676) or from the IRS Web Site at [www.irs.gov](http://www.irs.gov).

If you are asked to complete Form W-9 but 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.

**Caution:** A disregarded domestic 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, 3, and 5 below indicate otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). Exempt recipients, see **Exempt from backup withholding** on page 2.

**Signature requirements.** Complete the certification as indicated in 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 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 or Archer MSA contributions or distributions, and pension distributions.** You must give your correct TIN, but you do not have to sign the certification.

**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 or single-owner LLC	The owner. <sup>3</sup>
<b>For this type of account:</b>	
6. Sole proprietorship or single-owner LLC	<b>Give name and EIN of:</b> The owner. <sup>3</sup>
7. A valid trust, estate, or pension trust	Legal entity. <sup>4</sup>
8. Corporate or LLC electing corporate status on Form 8832	The corporation
9. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
10. Partnership or multi-member LLC	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.

**Privacy Act Notice**

Section 6109 of the Internal Revenue Code requires you to provide 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 Archer 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. We may also disclose this information to other countries under a tax treaty, or to Federal and state agencies to enforce Federal nontax criminal laws and to combat terrorism.

You must provide your TIN whether or not you are required to file a tax return. Payers must generally withhold 30% 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.