THE UNIVERSITY OF ARIZONA

Substitute W-9: Request for Taxpayer Identification Number and Certification

If your company has an IRS approved W-9, the University of Arizona will accept it in lieu of this form. Please submit your form to Accounts Payable.

1

Type of Request (Must select at least ONE)

☐ New Form ☐ New Address (Additional address to include in file) ☐ Change - Select the type(s) of change from the following: ☐ Tax ID ☐ Legal Name ☐ Entity Type ☐ Supplier Diversity Indicator ☐ Main Address ☐ Remittance Address ☐ Contact Information

2

Taxpayer Identification Number (TIN) (Provide ONE Only)

TIN ☐☐ - ☐☐☐☐☐☐☐ **OR** SSN ☐☐☐ - ☐☐ - ☐☐☐☐

3

Vendor Name (As it appears on IRS EIN records, IRS Letter CP575, IRS Letter 147C or Social Security Administration Records, Social Security Card. If Individual, Sole Proprietor, Single Member LLC, enter First, Middle, Last Name.**)**

Legal Name	
DBA Name	

4

Vendor Address

Main Address (Where tax information and general correspondence is to be mailed)

Address Line 1		
Address Line 2		
City	State	Zip code

Remittance Address (Where payment is to be mailed) ☐ Same as Main

Address Line 1		
Address Line 2		
City	State	Zip code

5

Vendor Contact Information

Name			Title
Phone	Ext.	Fax	Remittance Email

6

Vendor Type (Must select ONE of the following)

☐ Individual/Sole Proprietor or Single-Member LLC	☐ Partnership
☐ C Corporation	☐ Trust / Estate
☐ S Corporation	☐ Other:
☐ Limited Liability Company (LLC) including Corporations & Partnerships. Enter Tax classification C = Corporation, S = S Corporation, P = Partnership	

7

Supplier Diversity Indicator (Must select ONE of the following)

☐ Alaska Native Corp	☐ Small Business or Individual	☐ Small Woman Owned Disadvantaged Business
☐ Arizona Small Business	☐ Small Disadvantaged Business	☐ Big Business
☐ Arizona Small Disadvantaged Business	☐ Small, Disabled Veteran-Owned Business	☐ Foreign Business
☐ Arizona Small, Woman Owned Business	☐ Small Veteran Owned Business	☐ Non-Profit, IRC §501(c)
☐ Arizona Small, Disadvantaged Woman Owned Business	☐ Small Woman Owned Business	☐ Historically Black College / University

8

Additional Vendor Information: Complete this section if it is applicable to you. See instructions for more details

DUNS Number	AZ Sales Tax Number (If applicable)
Exemption Code for Backup Withholding	Exemption Code for FATCA Reporting

9

Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct Taxpayer Identification Number, and
2. I am not subject to Backup Withholding because: (a) I am exempt from Backup Withholding, or (b) I have not been notified by the IRS that I am subject to Backup Withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to Backup Withholding, and
3. I am a US citizen or other US person, and
4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

The Internal Revenue Service does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.

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.

Signature	**Print Name**		**Date**

University of Arizona Substitute W-9 Form Instructions

The University of Arizona must obtain your correct Taxpayer Identification Number (TIN) to report income paid to you or your organization. The Substitute W-9 Form is used to obtain certification of your TIN in order to ensure accuracy of information contained in our payee/vendor system and to avoid Backup Withholding as mandated by the IRS. According to IRS regulations, the University must withhold on payments if a vendor/payee fails to provide its certified TIN.

Part 1 - **Type of Request:** Select at least one.

Part 2 - **Taxpayer Identification Number (TIN):** Enter your nine-digit TIN. The TIN is either your nine-digit Social Security Number (SSN) assigned by the Social Security Administration (SSA) or Employer Identification Number (EIN) assigned by the Internal Revenue Service (IRS).

Part 3 - **Vendor Name:** Enter the legal name as it appears on IRS EIN records, IRS Letter CP575, IRS Letter 147C or Social Security Administration Records, Social Security Card. If Individual, Sole Proprietor, Single Member LLC, enter First, Middle, Last Name. Enter your DBA in the designated line if applicable.

Part 4 - **Vendor Address:** List the location(s) for tax reporting purposes and where payments should be mailed.

Part 5 - **Vendor Contact Information:** List best contact information for Accounts Payable Records.

Part 6 - **Vendor Type:** Select only one that is associated with the TIN given.

Part 7 - **Supplier Diversity Indicator:** Select only one for TIN given.

Part 8 - **Additional Vendor Information:**

DUNS Number: Provide unique nine- digit identified number if applicable.

Arizona Sales Tax (Transaction Privilege Tax) Number: Provide Arizona TPT number if applicable.

Backup Withholding Exemption Codes: Generally, Individuals (including Sole Proprietors) are not exempt from Backup Withholding. Additionally, Corporations are not exempt from Backup Withholding when supplying legal or medical services. If you do not fall under the categories below, leave this field blank. If you are exempt from Backup Withholding enter the appropriate exemption code below that applies to you:
Code 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)
Code 2: The United States or any of its agencies or instrumentalities
Code 3: A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or Instrumentalities
Code 4: A foreign government or any of its political subdivisions, agencies, or instrumentalities
Code 5: A corporation
Code 6: A dealer in securities or commodities required to register in the United States, the District of Columbia, or a possession of the United States Code 7: A futures commission merchant registered with the Commodity Futures Trading Commission
Code 8: A real estate investment trust
Code 9: An entity registered at all times during the tax year under the Investment Company Act of 1940
Code 10: A common trust fund operated by a bank under section 584(a)
Code 11: A financial institution
Code 12: A middleman known in the investment community as a nominee or custodian
Code 13: A trust exempt from tax under section 664 or described in section 4947

FATCA Exemption Codes: The following codes identify payees that are exempt from reporting under FATCA. These codes apply to persons submitting this form for accounts maintained outside of the United States by certain foreign financial institutions. If you are only submitting this form for an account you hold in the United States, leave this field blank. If you are exempt from FACTA Reporting, enter the appropriate exemption code below that applies to you:
Code A: An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a) (37)
Code B: The United States or any of its agencies or instrumentalities
Code C: A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities
Code D: A corporation the stock of which is regularly traded on one or more established securities markets, as described in Reg. section 1.1472-1(c)(1)(i)
Code E: A corporation that is a member of the same expanded affiliated group as a corporation described in Reg. section 1.1472-1(c) (1) (i)
Code F: A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state
Code G: A real estate investment trust
Code H: A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940
Code I: A common trust fund as defined in section 584(a)
Code J: A bank as defined in section 581 Code K: A broker
Code L: A trust exempt from tax under section 664 or described in section 4947(a) (1)
Code M: A tax-exempt trust under a section 403(b) plan or section 457(g) plan

Part 9 - Certification: Please sign, date and provide preparer's name in appropriate space.

SUBMIT COMPLETED FORM TO:

THE UNIVERSITY OF ARIZONA
FINANCE & BUDGET - ACCOUNTS PAYABLE
888 N. Euclid Ave. Room 502
TUCSON, AZ 85721

OR

Accounts Payable Secure Upload