



Retailer APPLICATION

Dear Prospective Lottery Retailer:

We're thrilled about your interest in becoming a Mississippi Lottery retailer! As a Lottery retailer, you have the chance to boost your store profits along with the revenue from your lottery ticket sales. Many retailers find that paying winning ticket prizes puts more money in their customers' hands to purchase additional items in the store. It's a win-win situation, and our state benefits by receiving proceeds to fund good causes.

We've included a Mississippi Lottery Corporation (MLC) retailer application for your reference. This application outlines the steps to become a retailer.

ALL FORMS MUST BE FILLED OUT COMPLETELY. You must submit a MLC retailer application in hard copy by U.S. mail to the following address:

Mississippi Lottery Corporation
Attention: Customer Support
P.O. Box 321433
Flowood, MS 39232

If you have any questions during the application process, please visit our website at www.mslottery.com or call us at (601) 487-1155.

Upon approval of your application, we'll contact you to schedule your training, installation of your lottery equipment, delivery of merchandising materials, and initial ticket order.

Thank you again for your interest in partnering with the Mississippi Lottery Corporation! We look forward to working together to bring additional revenue to your business and benefit the future of Mississippi.

Jeff Hewitt
President, Mississippi Lottery Corporation



Retailer APPLICATION PROCESS & CHECKLIST

INSTRUCTIONS:

- Submit Completed Application with Fee(s) and Security Deposit for Each Location
- Cashier's Check, Business Check, or Money Order Only
- Must include a copy of a valid Government Issued Photo Identification for each Officer and >10% Direct or Indirect Owner

THE APPLICATION PROCESS

1. Stage 1 – Document Review

- The application will be reviewed for completeness and verification of all required documentation including a completely filled out application, W-9, copies of owner(s) valid government issued identification, application fee(s), security deposit, banking information, voided check or signature card, and leasing agreement if applicable.
- If an application is incomplete, the applicant will be alerted by a MLC representative and required to submit all missing documentation within 90 days. Otherwise, the application will be denied.
- Upon completion of Stage 1, notification will be sent to the applicant via e-mail (U.S. mail if no e-mail) and Stage 2 processing will begin.

2. Stage 2 – Background Investigations

- All businesses, officers and owners are subject to a credit check, taxation check, and criminal history check.
- A background investigation will be performed on all individual owners/sole proprietors, all corporate officers, and all direct or indirect >10% owners.

3. Stage 3 – Site Assessment

A physical assessment may be required to determine whether the business would be exclusively engaged in the sale of lottery tickets or is operating any Video Lottery Terminal, any mobile or internet-based or monitor-based interactive game, or any simulated casino-style game, which are strictly prohibited.

4. Stage 4 – Approval/Denial Notification

- If approved, notification will be sent via e-mail (U.S. mail if no e-mail) with information regarding classroom terminal training and installation of lottery equipment.
 - A representative of the Lottery will call to schedule training and equipment installation for each retailer location.
 - Classroom terminal training is mandatory and must be attended before equipment installation.

- To prepare for installation, make space behind the counter for the terminal, which is slightly larger than a breadbox and provide a separate, dedicated "quadplex" electrical outlet in order to prevent interference from other electrical equipment.
 - It is the retailer's responsibility to ensure that a dedicated outlet is available at your location.
- The application will automatically be denied if an owner/officer has been convicted of a felony, a criminal offense involving illegal gambling activity, false statements, false swearing or perjury in the State of Mississippi or any other jurisdiction, or a criminal offense related to the security or integrity of the MLC or any other lottery.
 - Failure to obtain clearance from the Mississippi Department of Revenue may also cause denial.
 - If denied, notice will be sent via e-mail (certified U.S. mail if no e-mail) describing the appeal process for applicants who desire to challenge the MLC's decision. If the applicant does not file an appeal within five (5) business days of receiving said notice, the application will expire, and the MLC's decision will no longer be subject to appeal.

5. Stage 5 – Renewals

- Lottery applicants must submit an \$8,000 security deposit per location in the form of a surety bond or letter of credit (LOC). The LOC must be from a FDIC-insured bank.
- Both the bond and the LOC must state the bond amount and the expiration date and renewals are due to the MLC 14 days before the expiration date.
- Lottery retailers are required to complete a contract renewal application every three (3) years.
 - Contract renewal applications are sent to Lottery retailers by the MLC and are due back to the MLC 60 days prior to the current contract expiration date.
 - The contract renewal process will be identical to the process for initial contract applications set forth above.

APPLICATION CHECKLIST

After completing the application, please submit the following:

A completed application pages 1 – 11. Note: Pages 1-2 are required for every store. Pages 3-5 are required for every officer and direct or indirect >10% owner.

Copy of every officer's and direct or indirect >10% owner's valid government issued identification, front and back if info is printed on the back.

If answering "YES" to any of the background questions, provide the details on a separate sheet of paper with the officer's or owner's signature and date.

Bank Information [Pages 6-7]. Attached voided check or copy of signature card.

The application fee and security deposit:

- There is a \$80 non-refundable application fee.
- There is an additional \$15 non-refundable application fee for each additional location within the same business structure for a new applicant or a currently active retailer.

\$8,000 surety bond or a Letter of Credit from a FDIC-insured bank.

IRS Form W-9 [Page 11].



Retailer APPLICATION

INSTRUCTIONS

1. Please read all instructions carefully. All forms must be filled out completely. No white out permitted. Corrections shall be made with one line cross out; initial and date. Do not write in or check boxes in shaded gray areas.
2. The application must be accompanied by a business check, cashier's check, or money order made payable to the Mississippi Lottery Corporation in the total amount of the application fee and any additional location fees, as well as a bond or letter of credit to the MLC in an amount of \$8,000 per location. Any question regarding bonds should be directed to your insurance provider.
3. The non-refundable application fees are \$80 for the initial location and \$15 for each additional new location owned by the same entity.
4. A hard copy of the MLC Retailer Application must be submitted by U.S. Mail to the following address:
Mississippi Lottery Corporation
Attention: Customer Support
P.O. Box 321433
Flowood, MS 39232
5. For a copy of the Alyce G. Clarke Mississippi Lottery Act, Retailer Contract, and/or Retailer Rules and Regulations, and if you have any questions about completing this retailer application, please visit mslottery.com, or call the MLC at (601) 487-1387.

TYPE OF APPLICATION [PAGE 1]

Check the appropriate box for reason for application.

1. **New Retailer:**

No lottery equipment. No lottery sales for past 90 days. ☐ to indicate whether a Chain Head or Independent Owner. If a Chain Head, write chain name and the total number of stores applying for lottery; all stores must be under same EIN/Tax Name.

2. **Change of Ownership (CHOW):**

Involving a currently selling MLC Lottery retailer. ☐ to indicate whether lottery equipment installation is needed. Write the retailer ID number, date of the takeover, and contact person information.

Note: If a change of ownership or business structure occurs, or if the retail location changes, the MLC must be notified 20 days in advance and a new application filed, with the following provided to the MLC: a signed and dated Bill of Sale, Purchase Agreement, or Lease/ Rental Agreement documenting the transaction.

3. **Add:**

Chains and Independent Owners with MLC Lottery retailers that are currently selling can use this section to add a retailer operating under the same EIN/Tax Name.



Retailer

APPLICATION INSTRUCTIONS

Section A: Store Location Information [Pages 1-2]

Note: For each additional location, complete Pages 1-2.

1. Write the store name, the doing business as (DBA) name. Write the name displayed on the exterior of your business. This is the name customers see from the street or exterior of the building and will be listed on our website on the Find A Retailer page. Write the store telephone number and ☐ if mobile.
2. Write the physical and mailing address (street, city, county, state, and zip code). The 1099 will be mailed to the mailing address. ☐ if mailing address is same as store physical address.
3. ☐ the applicable application fee amount, type of security deposit, and if the store is open 24 hours 7 days a week.
4. Write the average weekly customer count for the store. Write the daily store hours if the store is not open 24 hours 7 days a week.
5. ☐ to indicate if the store complies with Title III of the American with Disabilities Act. Visit <https://www.ada.gov>.
6. ☐ to indicate if the store is under construction. If yes, provide the date of completion.
7. ☐ indicating whether you own the Property/Land. If no, provide the landlord information and/or attach a copy of the lease/rental agreement.
8. List store location contacts for general lottery business. The contacts listed will receive general lottery information such as Pricebook UPC Codes, Instant Game Plan-o-grams, retailer portal access, newsletters, and renewals.
For access to the retailer portal, an Independent Primary Contact, must be an owner or officer identified on the application, and access can be established after installation is complete. ☐ indicating the company title/function, and write full name, phone number and ☐ if mobile, and e-mail address.
9. ☐ indicating the store's trade style.

Section B: Business Information [Page 3]

1. Write the legal business name, as it appears on the Form W-9, and attach a copy of the Form W-9 [Page 11] for the business.
2. ☐ that corresponds with your business type identified on the Form W-9.
3. Write your Mississippi Sales and Use Tax ID provided by the Mississippi Department of Revenue (MDOR).
4. Write your Federal Tax ID number provided by the Internal Revenue Service (IRS).
5. Write the date and state of incorporation of the business.
6. Write the business mailing address to include city, county, state, zip code and the business phone number. ☐ if mobile.
7. List all officers and owners, from high to low by percent of ownership, with full name, company title, percent of shares, date of birth, and social security number. Copy page for additional officer and owner information.
8. ☐ to indicate if the business is licensed to operate lottery in any other state. If YES, ☐ and write the state, number of stores licensed, and the retailer license number(s). Add attachment for additional states.

Section C: Owner/Officer Information [Page 4]

Every officer and direct or indirect >10% owner must submit Section C.

Write your Social Security Number, company title and percent of ownership, full legal name, date of birth, gender, mobile telephone number, home telephone number, work telephone number (☐ if mobile), and e-mail address. ☐ the type of identification provided, write the identification number and attach a copy of a valid government issued identification. Write your home address (street, city, county, state, and zip code) and number of years at that address (if less than 10 years, provide home address(es) for the past 10 years). If more than two home addresses, please list on a separate sheet of paper.

Section D: Background Questionnaire [Page 4]

Follow the instructions listed in this section to mark the appropriate box for each of the questions in this section. All questions must be answered, and any requested disclosure information provided.

Section E: Investigation Release / Retailer Contract Acceptance [Page 5]

The applicant and each officer and direct or indirect > 10% owner must read, execute and affirm by notary the certification, authorization, acknowledgement, and agreement.

Section F: Banking Information [Page 6]

Read the instructions. Note that this page must be executed by authorized representatives of the retailer and the DFI.

Section G: Retailer Electronic Fund Transfer Authorization [Page 6]

Read the authorization.

1. ☐ if this Form is a result of a change in the bank account used for your existing retailer account. If so, write your MLC Retailer ID number and the requested effective date. Do not close the bank account of record until notified by an MLC representative that the request to change the bank account is effective.
2. This Form must be executed by the retailer's authorized representative, who must be the same person as the signatory on the bank account.

Section H: Depository Financial Institution Bank Account Verification and Acknowledgment [Page 7]

Section H is to be completed by the DFI. In Section H, write the bank name, branch, phone number, e-mail address, physical address, city, county, state, zip code, business account routing and account numbers, and the name of the banking account that includes, "IN TRUST FOR THE MLC." An authorized representative of the DFI must sign and print their name and date the acknowledgement.

Section I: Retailer Contract [Pages 8 – 10]

An owner or officer of retailer must read the Retailer Contract.

The Retailer Contract must be executed by an owner or officer on page 4 and include the signature, printed name, date signed, business legal name, store DBA name, and store physical address.

List additional retail locations name and addresses (street, city, county, and zip code) on Additional Retailer Locations [page 10].

Note: The Additional Retailer Locations should only be completed if the owner or business has multiple store locations adhering to the MLC Retailer Contract.

Form W-9 Request for Taxpayer Identification Number and Certification

For complete instructions on completing the Form W-9 and to print or to complete the W-9 electronically, visit <https://www.irs.gov/pub/irs-pdf/fw9.pdf>. Form must be executed by owner or your authorized agent and submitted with application.



Retailer APPLICATION

LOTTERY USE ONLY

Total Amount Received \$:

Check or Money Order #:

Finance Signature:

ATTN: Customer Support | P.O. Box 321433, Flowood, MS 39232 | Office: 601-487-1387 | E-mail: MLCCustomerSupport@mslot.org

TYPE OF APPLICATION

1. **New Retailer Application** Chain Head Name: Number of MS Stores Applying:

Independent Owner – owns location which currently or previously sold MS lottery Yes No

2. **Change of Ownership:** Installation of lottery equipment is needed at this location. Yes No

a. Current Retailer ID: Date of Sale / Takeover:

b. For information concerning sale of business: Contact Name:

Phone Number:

Contact E-mail Address:

3. **Add:** Chain Subordinate Independent Owner Projected Opening Date:

LOTTERY USE ONLY

Change in Business Structure: Add Change Remove: Owner Officer

SECTION A: STORE LOCATION INFORMATION

LOTTERY USE ONLY ATTACHED PER STORE: APPLICATION FEE: \$80 or \$15 Security Deposit \$8,000: Bond LOC

1. STORE NAME / D.B.A.: STORE EXTERIOR NAME – STREET FACING: STORE MAIN PHONE:

MOBILE

2. STORE PHYSICAL ADDRESS: CITY: COUNTY: STATE: ZIP:

STORE / 1099 MAILING ADDRESS: CITY: COUNTY: STATE: ZIP:

Same as store physical address:

3. APPLICATION FEE - CHECK ONE: \$80 \$15 **ATTACHED** SECURITY DEPOSIT \$8,000 - CHECK ONE: Bond Letter of Credit **ATTACHED** CHECK HERE IF OPEN 24 HOURS / 7 DAYS (IF ☒ SKIP STORE HOURS BELOW) 4. AVERAGE WEEKLY CUSTOMER COUNT:

STORE HOURS	SUNDAY	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY	SATURDAY
OPEN:							
CLOSE:							

5. DOES THIS LOCATION COMPLY WITH TITLE III OF THE AMERICANS WITH DISABILITIES ACT? Yes No 6. UNDER CONSTRUCTION? Yes No IF YES, COMPLETION DATE: 7. DO YOU OWN THE PROPERTY / LAND? Yes No IF NO, provide landlord information below.

LANDLORD NAME: LANDLORD ADDRESS, CITY, STATE, ZIP CODE: LANDLORD PHONE NUMBER: LANDLORD E-MAIL ADDRESS:

MOBILE

LOTTERY USE ONLY

DATE RECEIVED:

RETAILER ID:



Retailer APPLICATION

ATTN: Customer Support | P.O. Box 321433, Flowood, MS 39232 | Office: 601-487-1387 | E-mail: MLCCustomerSupport@mslot.org

SECTION A (CONTINUED): STORE LOCATION INFORMATION

STORE LOCATION CONTACTS FOR GENERAL LOTTERY BUSINESS

8. CONTACT TITLE / FUNCTION:

PRIMARY ACCOUNTING PRICEBOOK
SCRATCH RENEWALS
TICKET

MANAGER:

STORE ASSIST REGIONAL DISTRICT

OTHER:

TITLE:

CONTACT NAME:

CONTACT PHONE NUMBER:

MOBILE

CONTACT EMAIL ADDRESS:

CONTACT TITLE / FUNCTION:

PRIMARY ACCOUNTING PRICEBOOK
SCRATCH RENEWALS
TICKET

MANAGER:

STORE ASSIST REGIONAL DISTRICT

OTHER:

TITLE:

CONTACT NAME:

CONTACT PHONE NUMBER:

MOBILE

CONTACT EMAIL ADDRESS:

CONTACT TITLE / FUNCTION:

PRIMARY ACCOUNTING PRICEBOOK
SCRATCH RENEWALS
TICKET

MANAGER:

STORE ASSIST REGIONAL DISTRICT

OTHER:

TITLE:

CONTACT NAME:

CONTACT PHONE NUMBER:

MOBILE

CONTACT EMAIL ADDRESS:

9. LOCATION TRADE STYLE. CHECK ONE:

Convenience Store
w/o Gas

Convenience Store
w/ Gas

Convenience Store
w/ Gas & Fast Food

Bar

Restaurant w/ Liquor
&/or Beer License

Restaurant w/o Liquor
&/or Beer License

Apparel & Accessory
Store

General Merchandise

Home & Auto
Supplies

Super Store

Club or Association

Grocery Store (5 or
less check outs)

Supermarket (>5
check outs)

Drug Store

Truck Stop w/ Gas &
Diesel

Truck Stop w/
Restaurant, Showers,
Scales & Diesel

Tobacco Store

General Services

Other

If other, specify:

LOTTERY USE ONLY

DATE RECEIVED:

RETAILER ID:



Retailer APPLICATION

ATTN: Customer Support | P.O. Box 321433, Flowood, MS 39232 | Office: 601-487-1387 | E-mail: MLCCustomerSupport@mslot.org

SECTION B: BUSINESS INFORMATION

LOTTERY USE ONLY

W-9 ATTACHED

1. **CORPORATE or LEGAL NAME:** (If a corporation, partnership, LLC or LLP, provide business name. If a sole proprietor, provide your name.)

2. **BUSINESS TYPE:**

Sole Proprietorship General Partnership Limited Partnership For profit Corporation Nonprofit Corporation
Limited Liability Company Limited Liability Partnership Other

If other, specify:

3. **MS SALES & USE TAX ID:**

4. **FEDERAL TAX ID:**

5. **IF INCORPORATED, DATE OF INCORPORATION:**

IF INCORPORATED, STATE OF INCORPORATION:

6. **BUSINESS MAILING ADDRESS:**

CITY

COUNTY

BUSINESS PHONE NUMBER:

Same as store:

STATE ZIP CODE

Mobile

7. **DIRECT OR INDIRECT OWNERS**

↓ Below LIST ALL owner(s) and officer(s), company title, and percent of ownership. List from high to low by % of ownership. Each officer and direct or indirect >10% owner must submit page 4.

OWNER/OFFICER FULL NAME

OWNER/OFFICER COMPANY TITLE

% OF DIRECT OR
INDIRECT OWNERSHIP

OWNER/OFFICER
DATE OF BIRTH

OWNER/OFFICER SOCIAL
SECURITY NUMBER

OWNER/OFFICER FULL NAME

OWNER/OFFICER COMPANY TITLE

% OF DIRECT OR
INDIRECT OWNERSHIP

OWNER/OFFICER
DATE OF BIRTH

OWNER/OFFICER SOCIAL
SECURITY NUMBER

OWNER/OFFICER FULL NAME

OWNER/OFFICER COMPANY TITLE

% OF DIRECT OR
INDIRECT OWNERSHIP

OWNER/OFFICER
DATE OF BIRTH

OWNER/OFFICER SOCIAL
SECURITY NUMBER

OWNER/OFFICER FULL NAME

OWNER/OFFICER COMPANY TITLE

% OF DIRECT OR
INDIRECT OWNERSHIP

OWNER/OFFICER
DATE OF BIRTH

OWNER/OFFICER SOCIAL
SECURITY NUMBER

OWNER/OFFICER FULL NAME

OWNER/OFFICER COMPANY TITLE

% OF DIRECT OR
INDIRECT OWNERSHIP

OWNER/OFFICER
DATE OF BIRTH

OWNER/OFFICER SOCIAL
SECURITY NUMBER

8. **IS YOUR BUSINESS LICENSED TO OPERATE LOTTERY RETAILER STORES IN ANY OTHER STATE?**

Yes No

If YES, provide the state and the number of stores your business is licensed to operate in each state. Attach additional sheets if needed.

STATE BUSINESS IS LICENSED TO SELL LOTTERY PRODUCTS

OF STORES LICENSED TO SELL LOTTERY PRODUCTS

RETAILER LICENSE NUMBER(S)

ARKANSAS

LOUISIANA

TENNESSEE

OTHER:

LOTTERY USE ONLY

DATE RECEIVED:

RETAILER ID:



Retailer APPLICATION

ATTN: Customer Support | P.O. Box 321433, Flowood, MS 39232 | Office: 601-487-1387 | E-mail: MLCCustomerSupport@mslot.org

SECTION C: OWNER / OFFICER INFORMATION

COPY OF VALID GOV. ISSUED I.D. ATTACHED

1. SOCIAL SECURITY NUMBER:		COMPANY TITLE & % OF OWNERSHIP:		%
FULL NAME: PREFIX, FIRST, MIDDLE, LAST, SUFFIX			DATE OF BIRTH: MM/DD/YYYY	
			GENDER:	
MOBILE PHONE:	HOME PHONE:	Mobile	WORK PHONE:	Mobile
E-MAIL ADDRESS:				
TYPE OF IDENTIFICATION - CHECK ONE:			COPY ATTACHED	
DRIVERS LICENSE			PASSPORT	NATIONAL ID
PERMANENT RESIDENT ID			MILITARY ID	
CURRENT HOME ADDRESS:		CITY:		COUNTY:
		STATE:	ZIP:	YEARS AT ADDRESS:
*IF LESS THAN 10 YEARS AT CURRENT HOME ADDRESS, PROVIDE PREVIOUS ADDRESSES FOR THE PAST 10 YEARS BELOW.				
PREVIOUS HOME ADDRESS:		CITY:		COUNTY:
		STATE:	ZIP:	YEARS AT ADDRESS:
PREVIOUS HOME ADDRESS:		CITY:		COUNTY:
		STATE:	ZIP:	YEARS AT ADDRESS:

SECTION D: BACKGROUND QUESTIONNAIRE

If you answer "yes" to any of the following questions, provide the date, details and disposition on a separate sheet of paper with your signature and date. Please note that, depending on the circumstances, a "yes" response will not necessarily disqualify you from being approved for a Retailer Contract. However, failure to disclose or provide accurate response will subject your application for denial.

1. Yes No – Have you or the Business ever been convicted or are charges pending against you for violation of any state or federal law, whether misdemeanor or felony?
2. Yes No – Have you or the Business ever had a business or professional contract from any state suspended or revoked?
3. Yes No – Have you or the Business ever filed for bankruptcy, been placed into receivership, or filed for court protection against creditors?

LOTTERY USE ONLY

DATE RECEIVED:

RETAILER ID:



Retailer APPLICATION

ATTN: Customer Support | P.O. Box 321433, Flowood, MS 39232 | Office: 601-487-1387 | E-mail: MLCCustomerSupport@mslot.org

SECTION E: INVESTIGATION RELEASE AND RETAILER CONTRACT ACCEPTANCE

I, the undersigned, hereby certify that the information contained on this form or otherwise submitted to the MLC in connection with my application to become a lottery retailer is true and correct in every material respect. I understand that providing inaccurate or misleading information is grounds for rejection of this application or cancellation of the Retailer Contract.

I hereby authorize the MLC to request a credit and taxation report, conduct a criminal history check, and conduct any other background investigation as may be necessary to process my MLC Retailer Application. I authorize the MLC to share any such information, privileged, confidential or otherwise, necessary to consider the MLC Retailer Application for approval. I further consent to allow the MLC to use and share such information in a manner consistent with all applicable laws and necessary to effectuate, administer or enforce all rights, orders and obligations arising out of the relationship between the Retailer Applicant and the MLC. This release will expire upon the final termination of my Retailer's contractual obligations with the MLC.

I authorize the MLC to conduct a thorough credit review from my personal/business credit report upon submission of my MLC Retailer Application; renewal of my Security Deposit; renewal of my MLC Retailer Contract; or such other time as deemed appropriate by the MLC. I understand and acknowledge that, based upon information from my personal/business credit report, the MLC will provide me, and all owners/officers listed on the Retailer Application, written notice of the credit review result. Such written notice may contain conditional requirements, such as submission of an additional security deposit, or bank and trade reference information, due to insufficient credit and/or credit denial of any one or more owners/officers of the business. I further understand and acknowledge that the MLC's written notice will include specific reasons for the conditional requirements and that this information may be sent to all owners/officers listed on the Retailer Application. *Some examples of justifications for conditional requirements for approval include but are not limited to: Derogatory Credit, Overextended Credit, Repossessions, Open Bankruptcy, etc. No other specific credit information will be included in the notice.

My signature below further certifies that I have read and agree to abide by all laws and all rules and regulations of the MLC, the MLC Retailer Contract and the Retailer Rules and Regulations and shall provide AC outlets meeting requirements for lottery equipment.

I certify that all the retail locations specified herein are compliant with the requirements outlined by Title III of the Americans with Disabilities Act.

I certify that the retail location(s) marked as not compliant with the requirements outlined by Title III of the Americans with Disabilities Act will be compliant within 180 days.

By signing this document, the undersigned certifies that I am current on all required state and local tax filings and not delinquent in payment of any taxes. Verification shall be obtained through the MS Department of Revenue. I also certify that I understand my obligation to establish and maintain a dedicated business bank account, titled "IN TRUST FOR THE MLC", which shall be used exclusively for lottery transactions. Furthermore, I agree that I have a fiduciary duty to maintain such an account for 30 days after terminating the Retailer Contract and to remit all lottery sales proceeds, minus retailer commission and prizes paid, in such bank account for automatic withdrawal by the MLC.

For Individuals: Additionally, the individual acknowledges that this authorization, release and certification applies to the individual in his/her personal capacity as well as to all businesses owned in whole or in part by the individual.

For Businesses: I hereby certify that I am a duly authorized representative of the business applying for a MLC Retailer Contract with the power to sign all documents, as required by the MLC, and that I have the authority to bind the business and its affiliates to the terms and conditions of the Retailer Contract, the Retailer Rules and Regulations and any other policies and procedures as established by the MLC.

(OWNER / OFFICER SIGN NAME HERE)

(OWNER / OFFICER PRINT NAME HERE)

(Date)

Notarial Certification: County of _____, State of _____.

This day personally came and appeared before me, the undersigned authority in and for the aforesaid jurisdiction, the within named

_____, who is personally known to me or who has produced (type of identification) _____,

and who, after being by me first duly sworn, states on oath that the matters and things contained and set forth in the above and foregoing application are

true and correct as therein stated. Subscribed and sworn to before me on this (date) _____ day of (month) _____, (year) 20 _____


(OFFICIAL SIGNATURE OF NOTARY)

(PRINTED NOTARY PUBLIC NAME)

(DATE)

(NOTARY COMMISSION EXPIRES)

Mississippi Lottery Corporation Consent:


Jeff Hewitt, MLC President

LOTTERY USE ONLY

DATE RECEIVED:

RETAILER ID:



Retailer APPLICATION

ATTN: Customer Support | P.O. Box 321433, Flowood, MS 39232 | Office: 601-487-1387 | E-mail: MLCCustomerSupport@mslot.org

SECTION F: BANKING INFORMATION

Instructions: Pursuant to the Lottery Act and the Mississippi Lottery Corporation (MLC) Retailer Contract, the Retailer is required to establish a dedicated business bank account, titled "IN TRUST FOR THE MLC," to be used exclusively for lottery transactions. Read the information below and fill in the blanks for the required information. To change the bank account for an existing Retailer, complete Box 1 of Section G. Section G, the Retailer Electronic Fund Transfer Authorization, must be executed by an owner or an authorized representative who must be the same person as the signatory on the bank account.

The Retailer's Depository Financial Institution (DFI) must confirm the establishment of the MLC Trust account by completing and signing Section H on page 7 and attaching a copy of the account Signature Card or a voided check from the in-trust account. For assistance completing Form H, please contact the MLC Customer Support Department at the office number above.

SECTION G: RETAILER ELECTRONIC FUND TRANSFER AUTHORIZATION

I HEREBY AUTHORIZE the MLC to make automatic withdrawals or deposits each week from or into my business checking account at the DFI named below, and I authorize the DFI to charge such withdrawals or deposits to my listed account. Adjusting entries to correct errors and to collect additional charges, which may include penalties and/or interest, are also authorized. I hereby further authorize and direct the DFI named below to release any information regarding such account, including, but not limited to, account balance information, payment history, and overdraft information to the MLC upon request by an authorized representative of the MLC.

It is agreed that these withdrawals, deposits, and adjustments will be electronically made by the Electronic Fund Transfer (EFT) System under the rules and regulations of the MLC and the National and Local Automated Clearing House (ACH) Associates. I understand that this authorization will remain in effect until thirty (30) days after the date of termination provided on the Retailer's copy of the Termination Form signed and dated by the Retailer and an authorized representative of the MLC.

Check this box if this is to change the account used for an existing retailer account.

RETAILER ID NUMBER:

REQUESTED EFFECTIVE DATE:*

*Start with the following Sunday and allow 7 business days. MLC will advise of date effective.

SIGNATURE OF AUTHORIZED PARTY (MUST BE THE SAME AS THE SIGNATURE ON THE BANK ACCOUNT, AN AUTHORIZED REPRESENTATIVE OF THE BUSINESS)

RETAILER AUTHORIZED PARTY SIGN NAME HERE:

RETAILER AUTHORIZED PARTY PRINT NAME HERE:

DATE:

LOTTERY USE ONLY

DATE RECEIVED:

RETAILER ID:



Retailer APPLICATION

ATTN: Customer Support | P.O. Box 321433, Flowood, MS 39232 | Office: 601-487-1387 | E-mail: MLCCustomerSupport@mslot.org

SECTION H: DFI BANK ACCOUNT VERIFICATION AND ACKNOWLEDGMENT

THIS LETTER MUST BE COMPLETED AND SUBMITTED BY A DFI.

BANK NAME:	BANK BRANCH:	
BANK PHONE NUMBER:	BANK E-MAIL ADDRESS:	
BANK ADDRESS:	BANK CITY:	
BANK COUNTY:	BANK STATE:	BANK ZIP:
EFT BANK ROUTING NUMBER (9 DIGITS):	EFT BANK ACCOUNT NUMBER:	

PRINT ACCOUNT NAME AS SHOWN AT DFI (BUSINESS NAME AS SHOWN ON YOUR ACCOUNT TO INCLUDE "IN TRUST FOR THE MLC"):

"IN TRUST FOR THE MLC"

Depository Financial Institution Acknowledgment: The above business account has been established "IN TRUST FOR THE MLC." By signing below and attaching a copy of this business account Signature Card or voided check, we acknowledge that our account holder, the retailer, has authorized the MLC to make automatic withdrawals or deposits each week from or into the listed business checking account at the DFI named above, and has authorized the DFI to charge such withdrawals or deposits to the listed account, to adjusting entries to correct errors, and to collect additional charges, which may include penalties and/or interest.

We acknowledge that it is agreed that these withdrawals, deposits, and adjustments will be electronically made by the Electronic Fund Transfer (EFT) System under the rules and regulations of the MLC and the National and Local Automated Clearing House (ACH) Associates.

We acknowledge that our account holder, the retailer, has further authorized and directed the DFI named above to release any information regarding such account, including, but not limited to, account balance information, payment history, and overdraft information to the MLC upon request by an authorized representative of the MLC.

We also acknowledge and understand that these authorizations will remain in effect until thirty (30) days after the date of termination provided on the Retailer's copy of the Termination Form that has been signed and dated by the Retailer and an authorized representative of the MLC. At which time, the MLC authorizes the DFI to allow the retailer to close the "IN TRUST FOR THE MLC" account and withdraw any remaining funds.

DFI REPRESENTATIVE SIGNATURE:	DFI REPRESENTATIVE PRINT NAME:	DATE:
DFI REPRESENTATIVE TITLE:		

LOTTERY USE ONLY

DATE RECEIVED:

RETAILER ID:



Retailer CONTRACT

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SECTION I: RETAILER CONTRACT

- 1. Act** – The Alyce G. Clark Mississippi Lottery Law, Senate Bill 2001 (First Extraordinary Session 2018), codified at Miss. Code Ann. §§ 27-115-1 et seq., as amended.
- 2. Board of Directors, or Board** – the five members of the board of directors of the MLC, appointed by the Governor with the advice and consent of the Legislature.
- 3. Game, or lottery game** – means any procedure or amusement authorized by the MLC where prizes are distributed among persons who have paid, or unconditionally agreed to pay, for tickets or shares that provided the opportunity to win those prizes, and does not utilize a Video Lottery Terminal (as defined in the Act) or any mobile or internet-based or monitor-based interactive game, or any simulated casino-style game.
- 4. MLC, or Lottery** – the Mississippi Lottery Corporation.
- 5. Person** – any individual, corporation, partnership, unincorporated association, or other legal entity.
- 6. President** – the person selected by the Board and approved by the Governor to be the chief executive officer of the MLC.
- 7. Retailer, or Lottery retailer** – a person with whom the MLC has contracted to sell tickets or shares in a lottery game to the public.
- 8. Share** – any method of participation in a lottery game, other than by ticket purchased on an equivalent basis with a ticket.
- 9. State** – the State of Mississippi.
- 10. Ticket** – any tangible evidence authorized by the MLC to demonstrate participation in a lottery game.
- 11. Video Lottery Terminal** – any electronic interactive computerized game machine or device equipped with a video screen and buttons, keys, a keyboard, touchscreen or other input device allowing input by an individual player and into which the player inserts coins, tokens, currency or other representation of value (including, but not limited to, an electronic card, ticket or other thing on which value is recorded electronically) as consideration in order for play of a game to be available, and through which, as a result of the play of a game, the player may receive free games, credits redeemable for cash or a noncash prize, or some other thing of value, whether or not received directly from the device, or nothing, determined wholly or predominantly by chance.

A Lottery retailer agrees to abide by the following terms and conditions for selling lottery tickets. Violation of any of these terms and conditions may result in the MLC terminating the Lottery retailer's contract and revoking its certificate to sell MLC products.

- 1. The Act.** A Lottery retailer shall comply with all provisions of the Act, MLC rules and regulations, this Retailer Contract, and all other requirements of applicable law. The MLC will not contract with a natural person under 21 years of age. A Lottery retailer agrees to indemnify and hold the MLC, its Board members, officers, employees, and agents harmless against any losses, costs, expenses (including, but not limited to, reasonable attorneys' fees), claims, damages, liabilities, penalties, actions, proceedings or judgments resulting from any claim, suit, action, or proceeding brought by any third party against the MLC related to or arising out of any actual or alleged violation of the Americans with Disabilities Act in connection with the Lottery retailer's retail locations. A Lottery retailer is subject to a background check as designated by the Act. A Lottery retailer must display, at each public entrance to all their retail locations, signage required by the Act and issued by the MLC informing customers of a toll-free telephone number for a Mississippi or national organization providing information and referral services regarding compulsive or problem gambling. A Lottery retailer will keep a complete and current set of records accounting for all its sales of lottery tickets and shall provide it for inspection upon the request of the MLC.
- 2. Electronic Funds Transfer.** A Lottery retailer must make full financial settlement with the MLC every week via an electronic funds transfer (EFT), or other recorded financial instruments as authorized by the MLC and approved by the President. The MLC may require full financial settlement more than once per week under certain conditions. The Lottery retailer is responsible for proceeds from the sale of all draw game tickets sold that week and all instant ticket packs settled. The MLC will notify the Lottery retailer of the amount due (or credit owed) each week. Lottery retailers who have non-sufficient funds (NSF) to cover their weekly EFT amount will be assessed a fee in accordance with the Lottery retailer rules and regulations. A Lottery retailer may be required to supply an additional security deposit in an amount determined by the MLC. Repeated NSFs could cause a Lottery retailer's lottery certificate to be revoked and this contract to be terminated. All individuals listed as having financial interest in the business of the Lottery retailer (officers and direct and indirect >10% owners) will be held responsible for the Lottery retailer's debts to the MLC.
- 3. Instant Ticket Game Rules.** A Lottery retailer is responsible for all tickets delivered to the retail location. The Lottery retailer is expected to provide Lottery-approved security for all tickets and MLC property, and will immediately report any lost, missing, stolen, damaged, altered, or counterfeit tickets to the MLC. The Lottery retailer will also notify appropriate local law enforcement officials of any stolen tickets or equipment and provide the MLC with a copy of law enforcement's stolen ticket report. The Lottery retailer will immediately report any unlawful activities or improprieties that concern the operations of the MLC or its Games. The Lottery retailer agrees to prominently display point-of-sale materials provided by the MLC and to display the ticket dispensers provided by the MLC for the sale of tickets in a prominent location near the cash register or checkout. Lottery retailers may purchase their own dispensers. Lottery retailers will make every effort to display MLC-supplied exterior signage.
- 4. Prize Payments.** A Lottery retailer will make the purchase and redemption of lottery tickets convenient and readily accessible to the public. Lottery tickets will be available for sale during the Lottery retailer's normal business hours; the Lottery retailer agrees to provide for the redemption of winning tickets during the same hours, up to the amount established by the MLC and subject to the MLC's approved validation hours. During its normal business hours, a Lottery retailer agrees to immediately validate and pay winning Lottery tickets under Six Hundred Dollars (\$600.00) and make MLC claim forms available to players possessing winning Lottery tickets of Six Hundred Dollars (\$600.00) or more. Under no circumstances shall a Lottery retailer condition the sale of lottery tickets upon the purchase of any other goods or services or charge any player a fee for the services of validating or paying winning lottery tickets. No prize shall be paid to a person under the age of 21.
- 5. Retailer Commission.** The amount of compensation paid to Lottery retailers for their sales of lottery tickets or shares shall be six percent (6%) of the retail price of the tickets or shares sold for each lottery game.
- 6. Retailer Equipment.** All the equipment and products supplied by the MLC remain the property of the Lottery. Lottery retailers will provide protection and care of all such equipment and products. The Lottery retailer must provide an adequate power source to operate the Lottery terminal(s). The Lottery retailer will immediately report stolen or damaged equipment to the Lottery. Only Lottery-supplied or Lottery-approved products are to be affixed to or loaded into dispensers or placed on equipment. The Lottery may remove the equipment, products, and supplies at any time, with or without notice.
- 7. Retailer Inspections.** A Lottery retailer will fully cooperate with all inspections and/or investigations conducted by the MLC as it relates to MLC business. To be eligible to receive and hold a lottery contract, a person shall not have been convicted of a felony, a criminal offense involving illegal gambling activity, false statements, false swearing or perjury in the State or any other jurisdiction, or a criminal offense related to the security or integrity of the MLC or any other lottery.
- 8. Retailer Renewals.** Lottery retailers are required to complete a contract renewal application every three (3) years. The retailer is required to return a contract renewal application to the MLC no later than 60 days prior to the current contract expiration date. The contract renewal process will be identical to the process for initial contract applications set forth above. If a breach of your Lottery Retailer Contract is determined during the renewal process, your Retailer Contract is subject to possible suspension or termination, and renewal thereof may require additional paperwork.
- 9. Retailer Rules.** The MLC reserves the right to suspend, cancel, or terminate a Lottery Retailer Contract for any violation of this agreement, applicable MLC policies and procedures, official MLC rules and regulations, or the Act. A Lottery retailer cannot also be a Lottery vendor or reside in the same household as a member of the Board, the President, or any other officer or employee of the MLC. A Lottery retailer must be current in filing all applicable State tax returns and in payment of all State and local taxes, interest, and penalties owed, excluding items under formal appeal under applicable statutes. A Lottery retailer must not be engaged exclusively in the business of



Retailer CONTRACT

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selling lottery tickets or shares, sell tickets from a mobile or residential location, or operate any Video Lottery Terminal or any mobile or internet-based or monitor-based interactive game, or any simulated casino-style game. A Lottery retailer shall attend training sessions from time to time upon the request of the MLC. A Lottery retailer shall not sell tickets by mail, e-mail, internet, telephone, fax or other similar method of communications. Retailers shall not offer any lottery games to be played or sell tickets by any personal computer, tablet, smartphone, mobile device or other similar equipment or type of device. A Lottery retailer shall not allow any illegal lottery device (defined in the Act) on the premises of its retail location(s). If a Lottery retailer or any of its direct or indirect greater than 10% owners are convicted of, or enter a plea of guilty or nolo contendere, to a criminal offense prohibited by the Act, have violated any provisions of the Act, the Rules and Regulations or the Retailer Contract, or have assessed against them a tax delinquency, the MLC must be notified in writing by the Lottery retailer within 10 days.

10. **Service Fee.** A Lottery retailer will be charged a weekly communication charge of \$20.00 for each location. This fee may be waived at the discretion of the MLC in accordance with uniform minimum sales criteria and other criteria, which may be established by the MLC from time to time.

11. **Security Deposit:** Lottery retailer shall furnish an appropriate bond or letter of credit, as required by the Act, and the initial amount shall be \$8,000.00 per retailer location. Bond renewal amounts are reviewed quarterly and adjusted for every Annual Bond Renewal Period, based on a Lottery retailer's average 10-day sales within a quarter. The MLC must receive security deposits two weeks before the bond expiration date. Failure to renew the bond or letter of credit before its expiration date may result in suspension of ticket orders, suppression of the retailer terminal and possible termination of the Lottery Retailer Contract.

A surety bond in addition to the aforementioned bond/letter of credit may also be required from those applicants with a significant number of negative items on credit reports. All security deposits will be held a minimum of two years, after which time a new financial credit review will be conducted including the retailer's financial credit history with the MLC. At the discretion of the President, the security deposit may be reduced or returned to the Lottery retailer pending the results of the new financial credit review. Should a Lottery retailer terminate its contract with the MLC and pay all funds due to the MLC, the surety bond will become null, and any LOC will be returned to the bank.

12. **Ticket Sales.** A Lottery retailer may be required to maintain minimum weekly sales averages, which will be determined and communicated by the MLC. A Lottery retailer may only sell tickets for cash, debit card, credit card or prepaid debit/credit card. Tickets cannot be purchased with checks, food

stamps, electronic benefit transfer (EBT) cards or WIC vouchers. A Lottery retailer shall not extend credit to customers for the purchase of tickets. A Lottery retailer shall not engage in the bulk sale of tickets. A Lottery retailer shall not knowingly sell any ticket and shall not pay any prize to any member of the Board or any officer or employee of the MLC; to any Lottery vendor or Lottery retailer; or to any spouse, child, brother, sister or parent residing in the same household as any of the foregoing. A Lottery retailer shall not knowingly sell a ticket or combination of tickets to any person or entity, which would guarantee such purchaser a win or prize. A Lottery retailer shall sell no lottery tickets or shares unless the retailer conspicuously displays a lottery certificate, signed by the President, to sell lottery tickets or shares. The MLC shall issue a certificate of authority to each Lottery retailer for the purpose of display for each retail outlet owned and operated by the Lottery retailer. No certificate is assignable or transferable. A Lottery retailer will offer all available instant games, as designated by the MLC, for sale to the public, at all times during the Lottery retailer's normal business hours. The Lottery retailer will offer all available draw games, as designated by the MLC, for sale to the public at all times such games are available during the Lottery retailer's normal business hours. No ticket or share in a lottery game shall be sold or resold for any price other than the retail sales price established by the MLC. It shall be unlawful for a person to sell a lottery ticket or share to a person under the age of 21 years. No person under the age of 21 years shall purchase a lottery ticket or share. A Lottery retailer is required by the Act and the MLC rules and regulations to require certain forms of identification before selling a ticket to any person.

13. **Transfer of Ownership.** A Lottery retailer shall not assign or transfer this agreement, in whole or in part, to any person. This agreement is not transferable to any location(s) other than those specified on Page 10, Additional Retailer Locations, attached to this agreement. Any change in ownership of greater than 10% requires the new owner to file an MLC retailer application. A Lottery retailer will notify the MLC at least 20 days prior to voluntary cancellation of this contract; any change in the location of the retailer's business; any change in the designated separate bank account from which payments to the MLC are to be made; and any change in ownership of the retailer requiring the new owner to apply to become a retailer pursuant to the MLC rules and regulations. A Lottery retailer will notify the MLC within 10 days following any change in the information submitted to the MLC in the retailer's most recent application, including but not limited to its financial status, ownership of greater than 10%, directly or indirectly, or its officers, directors, partners, sole proprietor, etc.; the death or incapacity of any owner; any change causing retailer to no longer fully satisfy all requirements of a retailer under the Act or the MLC rules and regulations; and any violation of the provisions of the Act, the MLC rules and regulations, or this agreement.

In signing this agreement, I acknowledge that I have read and understand the terms and conditions and agree to be bound by them, all official MLC rules and regulations, and the Act. I certify that I am an agent of the Lottery retailer, and I am duly authorized to enter into this contract on behalf of the Lottery retailer.

OWNER / OFFICER SIGNATURE:

OWNER / OFFICER NAME & TITLE (PRINT):

DATE:

BUSINESS LEGAL NAME:

CHAIN or STORE NAME:

CHAIN or STORE PHYSICAL ADDRESS:

CITY:

STATE:

ZIP:

MISSISSIPPI LOTTERY CORPORATION

JEFF HEWITT
PRESIDENT, MISSISSIPPI LOTTERY CORPORATION

LOTTERY USE ONLY

DATE RECEIVED:

RETAILER ID:



Retailer APPLICATION

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ADDITIONAL RETAILER LOCATIONS: (COPY PAGE IF ADDITIONAL SPACE IS REQUIRED)

1. STORE NAME:	STORE STREET ADDRESS:	CITY:	ZIP:
		COUNTY:	
2. STORE NAME:	STORE STREET ADDRESS:	CITY:	ZIP:
		COUNTY:	
3. STORE NAME:	STORE STREET ADDRESS:	CITY:	ZIP:
		COUNTY:	
4. STORE NAME:	STORE STREET ADDRESS:	CITY:	ZIP:
		COUNTY:	
5. STORE NAME:	STORE STREET ADDRESS:	CITY:	ZIP:
		COUNTY:	
6. STORE NAME:	STORE STREET ADDRESS:	CITY:	ZIP:
		COUNTY:	
7. STORE NAME:	STORE STREET ADDRESS:	CITY:	ZIP:
		COUNTY:	
8. STORE NAME:	STORE STREET ADDRESS:	CITY:	ZIP:
		COUNTY:	
9. STORE NAME:	STORE STREET ADDRESS:	CITY:	ZIP:
		COUNTY:	
10. STORE NAME:	STORE STREET ADDRESS:	CITY:	ZIP:
		COUNTY:	

LOTTERY USE ONLY

DATE RECEIVED:

RETAILER ID:

Request for Taxpayer Identification Number and Certification

Go to www.irs.gov/FormW9 for instructions and the latest information.

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

Before you begin. For guidance related to the purpose of Form W-9, see *Purpose of Form*, below.

Print or type. See Specific Instructions on page 3.	1	Name of entity/individual. An entry is required. (For a sole proprietor or disregarded entity, enter the owner's name on line 1, and enter the business/disregarded entity's name on line 2.)	
	2	Business name/disregarded entity name, if different from above.	
	3a	Check the appropriate box for federal tax classification of the entity/individual whose name is entered on line 1. Check only one of the following seven boxes. <input type="checkbox"/> Individual/sole proprietor <input type="checkbox"/> C corporation <input type="checkbox"/> S corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate <input type="checkbox"/> LLC. Enter the tax classification (C = C corporation, S = S corporation, P = Partnership) Note: Check the "LLC" box above and, in the entry space, enter the appropriate code (C, S, or P) for the tax classification of the LLC, unless it is a disregarded entity. A disregarded entity should instead check the appropriate box for the tax classification of its 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 Foreign Account Tax Compliance Act (FATCA) reporting code (if any) _____ (Applies to accounts maintained outside the United States.)
	3b	If on line 3a you checked "Partnership" or "Trust/estate," or checked "LLC" and entered "P" as its tax classification, and you are providing this form to a partnership, trust, or estate in which you have an ownership interest, check this box if you have any foreign partners, owners, or beneficiaries. See instructions <input type="checkbox"/>	
	5	Address (number, street, and apt. or suite no.). See instructions.	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 instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN*, later.

Note: If the account is in more than one name, see the instructions for line 1. See also *What Name and Number To Give the Requester* for guidelines on whose number to enter.

Social security number									
				-				-	
or									
Employer identification number									
				-					

Part II Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
2. I am not subject to backup withholding because (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
3. I am a U.S. citizen or other U.S. person (defined below); and
4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and, generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions for Part II, later.

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. For the latest information about developments related to Form W-9 and its instructions, such as legislation enacted after they were published, go to www.irs.gov/FormW9.

What's New

Line 3a has been modified to clarify how a disregarded entity completes this line. An LLC that is a disregarded entity should check the appropriate box for the tax classification of its owner. Otherwise, it should check the "LLC" box and enter its appropriate tax classification.

New line 3b has been added to this form. A flow-through entity is required to complete this line to indicate that it has direct or indirect foreign partners, owners, or beneficiaries when it provides the Form W-9 to another flow-through entity in which it has an ownership interest. This change is intended to provide a flow-through entity with information regarding the status of its indirect foreign partners, owners, or beneficiaries, so that it can satisfy any applicable reporting requirements. For example, a partnership that has any indirect foreign partners may be required to complete Schedules K-2 and K-3. See the Partnership Instructions for Schedules K-2 and K-3 (Form 1065).

Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS is giving you this form because they