

# State of Arizona Substitute W-9 & Vendor Authorization Form



**Purpose:** Establish or update a vendor account with the State of Arizona. This form meets the Federal requirements to request a taxpayer identification number (TIN), request certain certifications and claims for exemption, as well as the State of Arizona requirements for vendor establishment.

**Instructions:** Complete form if

1. You are a U.S. person (including a resident alien);
2. You are a vendor that provides goods or services to an Arizona state agency; **AND**
3. You will receive payment from the State of Arizona.

**Return completed form to the state agency with whom you do business, for review and authorization.**

See instructions below or refer to the IRS instructions at [www.irs.gov](http://www.irs.gov) for details on completing this form.



**Type of Request (Must select at least ONE)**  Tax ID  Legal Name  Entity Type  Minority Business Indicator

New Request  New Location (Additional Mail Code)  Change (Select the type(s) of change from the following:  Main Address  Remittance Address  Contact Information

**Taxpayer Identification Number (TIN) (Provide ONE Only)**

Social Security Number (SSN) [ ] - [ ] - [ ] OR Federal Employer Identification Number (FEIN) [ ] - [ ]

**Entity Name Must Provide Legal Name (\*Must match SSN or FEIN given. If Individual or Sole Proprietorship enter First, Middle, Last Name.)**

Legal Name\* [ ]

**Entity Type Must Select One of the Following (Coding (X#) is for Internal Purposes Only)**

- Individual/Sole Proprietor or Sole Proprietor organized as LLC, PLLC (6I)  State of Arizona employee (1E) STATE HRIS EIN [ ]
- Corporation NOT providing health care, medical or legal services (5A)  LLC, PLLC organized as corporation NOT providing health care, medical or legal services (5A)
- Corporation providing health care, medical or legal services (5M)  LLC, PLLC organized as corporation providing health care, medical or legal services (5M)
- Partnership, LLP or Partnership organized as LLC or PLLC (5C)  A state, a possession of the US, or any of their political subdivisions or instrumentalities (4G)
- An international organization or any of its agencies/instrumentalities (5U)  Other: Tax Reportable Entity (5P) Description [ ]
- The US or any or its political subdivisions or instrumentalities (2G)  Other: Tax Exempt Entity (5H)

**Minority Business Indicator Must select one of the following (Coding (X#) is for internal purposes only)**

- Small Business (01)  Small, Woman Owned Business- Hispanic (31)  Minority Owned Business- African American (04)
- Small Business- African American (23)  Small, Woman Owned Business- Native American (33)  Minority Owned Business- Asian (32)
- Small Business- Asian (24)  Small, Woman Owned Business- Other Minority (11)  Minority Owned Business- Hispanic (74)
- Small Business - Hispanic (25)  Woman Owned Business (03)  Minority Owned Business- Native American (15)
- Small Business- Native American (27)  Woman Owned Business- African American (17)  Minority Owned Business- Other Minority (02)
- Small Business- Other Minority (05)  Woman Owned Business- Asian (18)  Non-Profit, IRC §501(c) (88)
- Small, Woman Owned Business (06)  Woman Owned Business- Hispanic (19)  Non-Small, Non-Minority or Non-Woman Owned Business (00)
- Small, Woman Owned Business- African American (29)  Woman Owned Business- Native American (21)
- Small, Woman Owned Business- Asian (30)  Woman Owned Business- Other Minority (08)  Individual, Non-Business (00)

**Main Address** Where tax information and general correspondence is to be mailed **Remittance Address** Where payment is to be mailed  Same as Main

DBA/Branch/Location [ ] Address [ ] City [ ] State [ ] Zip code [ ]

**Vendor Contact Information**

Name [ ] Title [ ] Phone # [ ] Ext. [ ] Fax [ ] Email [ ]

**Certification**  Exempt from backup withholding

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. person (including 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.

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

Signature [ ] Title [ ] Date [ ]

STATE OF ARIZONA AGENCY USE ONLY - AGENCY AUTHORIZATION VENDOR: DO NOT WRITE BELOW THIS LINE

State HRIS EIN [ ] Print Name Kimilee D. McCreary Signature [ ]  
 AGY HUA Title Fiscal Office Manager Phone # (602) 771-6533 Email kdmccreary@azarts.gov Date [ ]

STATE OF ARIZONA GAO USE ONLY VENDOR & STATE AGENCY: DO NOT WRITE BELOW THIS LINE

IRS TIN Matching  Corporation Commission Vendor Number [ ] Processed by [ ] Date Processed [ ]  
 HRIS  GAO-03  Other

## Instructions for the State of Arizona Substitute W-9 & Vendor Authorization Form

### General instructions:

1. Form GAO-W-9 should be completed by computer (electronically).
2. Vendor must type or legibly print all 'Required' fields and submit to the State of Arizona agency they do business with for their review and authorization of the form.

### Specific instructions:

#### Type of Request

Select the type of request being made. Select only one, the choices are: 1) New Request, 2) New Location or 3) Change. If selecting Change, please identify what fields have changed since the previous submission. Check all changes that apply: Tax ID, Legal Name, Entity Type, Minority Business Indicator, Main Address, Remittance Address or Contact Information.

#### Taxpayer Identification Number (TIN)

##### Social Security Number (SSN) OR Federal Employer Identification Number (FEIN)

Required. Enter your 9 digit Social Security Number (SSN) OR Federal Employer Identification Number (FEIN). This is your Taxpayer Identification Number (TIN) as assigned by the Internal Revenue Service (IRS) or Social Security Administration (SSA).

#### Entity Name

##### Legal Name

Required. Enter the name corresponding to the TIN given. Name must be the same as registered with the Internal Revenue Service (IRS) or Social Security Administration (SSA).

- **Individuals:** Enter First Name, Middle Name, Last Name
- **Sole Proprietorships:** Enter First Name, Middle Name, Last Name
- **ALL Others:** Enter Legal Name of the Business.

#### Entity Type

Required. Check only ONE entity type for the TIN given. If State of Arizona employee is selected, you must provide your State of Arizona Human Resources Information Solution (HRIS) Employee Identification Number (EIN). Board Members should select State of Arizona employee only if they have a State of Arizona HRIS EIN, otherwise select Individual/Sole Proprietor. If "Other" is selected, please provide a Description for your business.

#### Minority Business Indicator

Required. Select the most detailed description for your business. Only one selection can be made. If none apply, select the second from last description of Non-small, Non-Minority or Non-Women Owned Business (00). For non-businesses, please select the last option of Individual, Non-Business (00).

To be classified as a Small, Minority, Women-owned, or Disadvantaged Business Enterprises, a company must meet all qualifying standards and be at least 51 percent owned, operated, and controlled by the qualifying person or persons. For additional information and definitions, refer to the following web site: [www.azcommerce.com/BusAsst/SmallBiz/To+be+certified.htm](http://www.azcommerce.com/BusAsst/SmallBiz/To+be+certified.htm)

**Main Address**-Required and **Remittance Address**-Optional. *\*Check 'Same as Main' if the Remit to Address is the same as the Main Address entered.*

##### Doing Business As (DBA)\Branch\Location-Optional

##### Main Address-Required

- Enter the address where tax information and general correspondence is to be mailed-usually, the District Office.
- City, State and 5-digit zip code are required.

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**Main Address Cont.**-Required and **Remittance Address**-Optional. *\*Check 'Same as Main' if the Remit to Address is the same as the Main Address entered.*

### **Remittance Address**-Optional

- Enter the address where payments should be sent-usually, the address of the individual school.
- City, State and 5-digit zip code are required.

### **Contact Information**-Required

#### **Name**

Required. Enter contact name. The person indicated will be contacted for payment related questions or issues.

#### **Title**

Optional. If the form is completed on behalf of a business, please enter your title.

#### **Phone#**

Required. Enter the contact's phone number including area code. If competing online, enter 9 numeric characters ONLY, do not enter any dashes, parenthesis or other special characters.

#### **EXT**

Optional. Enter the contact's phone number extension, if applicable.

#### **email**

Optional. Enter the contact's email address. Must be in the format: email@address.com.

#### **Fax**

Optional. Enter the contact's fax number. If completing online, enter 9 numeric characters ONLY, do not enter any dashes, parenthesis or other special characters.

### **Certification**

#### **Exempt from backup withholding**

Optional. Check box if you are exempt from backup withholding (Individuals and sole proprietors are not exempt from backup withholding. Corporations are exempt from backup withholding for certain types of payments). Refer to IRS W-9 instructions for additional information.

#### **Signature**

Required. Signature should be provided by the individual, owner, officer, legal representative, or other authorized person of the entity listed on the form. Certain exceptions to the signature requirement are listed in the IRS instructions for form W-9.

#### **Title**

Required. Enter the title of the person who signed/certified the form.

#### **Current Date**

Required. This field will default to the current date if form is completed electronically.

**Do not complete any remaining fields; they are reserved for use by the State of Arizona.**

### **Additional Information**

For additional information concerning certification requirements for the substitute W-9 form, refer to the instructions for the Internal Revenue Service form W-9 at: [www.irs.gov](http://www.irs.gov).