



## INSTRUCTIONS TO CLOSING AGENT

Thank you for choosing Moat Note Servicing, LLC to service your note(s)!

To make your onboarding of your note(s) as efficient and effortlessly as possible, we must have all the documents prior to processing your note. We have provided the checklist below to confirm you are aware of all the documents that we need to effectively process your note in a timely manner. ***Additionally, we have listed some items that you and your Closing Agent should be aware of prior to closing.***

The completed Intake Packet must be emailed and/or mailed to Moat Note Servicing **10-15 days prior to the First Payment Date to begin collecting by the assigned due date. If an Incomplete Packet is received after the required time frame, a \$50 RUSH FEE may be incurred.**

### **PLEASE REVIEW PRIOR TO CLOSING:**

1. ***Set-Up Fee made payable to Moat Note Servicing, LLC.***
2. ***Borrower will need to sign all required forms.***
3. ***Seller/Lender will need to complete, initial, and sign the Intake Packet.***
4. ***Closing agent will need to collect Escrow Reserves for TAXES AND INSURANCE. Please see the attached escrow chart for how many months of taxes need to be collected. To verify, the correct amount of reserves is collected for taxes and insurance, please contact us directly to 210-504-8878. \*\*\*Buyer is responsible for 1 year of insurance\*\*\*.***
5. ***Buyer and/or Lender will need to add Moat Note Servicing, LLC to the Insurance Policy as a Servicing Company or Non-Financial Third Party. This will allow Moat Note Servicing, LLC to receive any correspondence regarding Renewals, Changes and/or Cancellations. **Please see the Example below.*****

#### **Insurance Clause Example:**

**Moat Note Servicing  
P.O. Box 800099  
Dallas, TX 75380**

**Moat Note Servicing, LLC  
Direct: (210) 504-8878**

***Please do not hesitate to contact us with any questions or concerns.***

## CHECKLIST: COMPLETION OF INTAKE PACKET

Once the Intake Packet has been completed in its entirety, please email your complete packet to the email below. Please feel free to contact us via email or by phone if you have any additional questions or concerns.

The following Documents **must** be included with the Intake Packet:

- Intake Packet (Pg. 1 – 12)***
- Deed of Trust***
- Promissory Note***
- Escrow Agreement (If not included in the Promissory Note)***
- Closing Disclosure or HUD Statement***
- W-9 Form: LENDER***
- W-9 Form: BORROWER***
- Copy of All Insurance Statements/Bills (If Applicable)***
- Copy of All Tax Statement, Tax Certificate or County Statement (If Applicable)***
- Copy of HOA Statement and/or Invoice (If Applicable)***
- Underlying Lien Mortgage Statement (If Applicable)***

All documents listed above, will need to be provided at the time the intake form is submitted.

**Notes will not be processed until all documents have been received.**

**Maria Springer**  
**Loan Servicing Coordinator**  
**210-417-4289**  
**[Maria@MoatNoteServicing.com](mailto:Maria@MoatNoteServicing.com)**

## INTAKE FORM

Lender Name: \_\_\_\_\_ E-Mail: \_\_\_\_\_

Lender Address: \_\_\_\_\_ Phone: \_\_\_\_\_

City/State/Zip: \_\_\_\_\_ TIN/EIN/SSN: \_\_\_\_\_

Checks Made Payable: \_\_\_\_\_

**Property Address to be Serviced:** \_\_\_\_\_

***The information provided above will be used for disbursing payments and End of the Year Tax Reporting Documents.***

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Buyer 1: \_\_\_\_\_

Mobile Number: \_\_\_\_\_

Work Number: \_\_\_\_\_

Email: \_\_\_\_\_

Buyer SSN \_\_\_\_\_

***\*\*Only Social Security Number is Required.  
Please do not provide any other  
government issued ID Number.***

Mailing Address (If different than Property to be Serviced): \_\_\_\_\_

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Buyer 2: \_\_\_\_\_

Mobile Number: \_\_\_\_\_

Work Number: \_\_\_\_\_

Email: \_\_\_\_\_

Buyer SSN \_\_\_\_\_

***\*\*Only Social Security Number is Required.  
Please do not provide any other  
government issued ID Number.***

Mailing Address (If different than Property to be Serviced): \_\_\_\_\_

## MONTHLY PAYMENT TERMS

Financed Amount or Principal Balance: \$ \_\_\_\_\_

Closing Date: \_\_\_\_\_ Maturity Date: \_\_\_\_\_ Balloon Date (IF APPLICABLE): \_\_\_\_\_

First Payment Due Date or Next Payment Due Date: \_\_\_\_\_

Interest rate: \_\_\_\_\_ P&I: \$ \_\_\_\_\_ Monthly Taxes: \$ \_\_\_\_\_ Monthly Insurance: \$ \_\_\_\_\_

HOA Dues: \$ \_\_\_\_\_

Monthly Service Fee Amount (***Paid by Borrower***): \$ \_\_\_\_\_

Monthly Service Fee Amount (***Paid by Lender***): \$ \_\_\_\_\_

***Total Monthly Payment to be Collected:*** \$ \_\_\_\_\_

Grace Period for Late Payment: \_\_\_\_\_ Days Late Fee Amount or Percentage: \_\_\_\_\_

**Is there an Underlying Lien:** Yes or No

***If you answered "YES" to an Underlying Lien, please read, and answer the questions listed on pg. 5.***

***Please Note: The information provided above will be used to calculate and collect the monthly payment. All information provided, but me accurate and listed in the Promissory Note and/or Loan Contract. Please contact us directly if you need any assistance or questions regarding the information requested.***

UNDERLYING LIEN PAYMENT INFORMATION & WAIVER

**Underlying Payment Information:**

**Payee Name:** \_\_\_\_\_

**Payment Mailing Address:** \_\_\_\_\_

**Loan Number:** \_\_\_\_\_

**Monthly Amount Due:** \$ \_\_\_\_\_

**The questions listed below are in reference to Monthly Escrows Collected. Please read and check all that apply to your account.**

1. **Are Property Taxes escrowed with your Underlying Lien:**    YES                    NO
  - **IF NO:** Will Moat Note Servicing be collecting, tracking, and issuing annual payments to the Tax Entities:    YES                    NO
  - **IF YES:** Please confirm that Monthly Tax Payment that will be included in the monthly disbursement to the Underlying Lien.
    - i. Monthly Escrow Amount: \$ \_\_\_\_\_
  
2. **Is Insurance escrowed with your Underlying Lien:**    YES                    NO
  - a. **IF NO:** Will Moat Note Servicing be collecting, tracking, and issuing annual payments to the Insurance Entities?    YES                    NO
  - b. **IF YES:** Please confirm that Monthly Insurance Payment that will be included in the monthly disbursement to the Underlying Lien.
    - i. Monthly Escrow Amount: \$ \_\_\_\_\_

The information I provided herein and accompanying documentation are true and correct to the best of my knowledge. I will not hold Moat Note Servicing, LLC responsible for information that I have given them that is incorrect or incomplete. I understand that Moat Note Servicing, LLC will set up my loan payments, disbursements, escrows, etc. based upon information I have provided. I understand that I have to notify Moat Note Servicing, LLC in a timely manner when I receive documentation or obtain knowledge that pertains to my loan(s) so that they can update my loans accordingly. I understand Moat Note Servicing, LLC will be unable to verify the payment was properly processed by The Lienholder, or that The Lienholder has adjusted or changed the amount due, whether due to a change in forced placed escrow, escrow calculations, unpaid escrow, interest-rate adjustments, or any other cause to change the amount the Lienholder is attempting to collect.

\_\_\_\_\_  
Lender's Signature

\_\_\_\_\_  
Lender's Printed Name

\_\_\_\_\_  
Date

# PRICING & FEE AGREEMENT

## 1. Set Up Fee:

Client understands and agrees to pay the following One-Time Set-Up Fee *per account*.  
***Please choose the fee applicable to your account.***

- File **without** an Underlying Lien: **\$150.00**
- File **with** an Underlying Lien: **\$175.00**

The set-up fee needs to be paid at the time of submission of the Intake Packet with the Escrow Reserves & Prorations. *If the Set Up Fee is not received prior to the first Lender Disbursement, the fee will be deducted from the first disbursement.*

\_\_\_\_\_INITIALS

## 2. Monthly Service Fee:

Client understands and agrees to pay the following Monthly Fees *per note file*.  
***Please choose the fee applicable to your account.***

- **Non-Escrowed File: \$35.00**
- **Escrowed File without an Underlying Lien: \$40.00**
- **File with an Underlying Lien: \$45.00**

\_\_\_\_\_INITIALS

## 3. Late Fees:

Client understands Moat Note Servicing, LLC will keep 50% of late fees collected to cover the costs of pursuing the late payment such as labor and correspondence.

\_\_\_\_\_INITIALS

## 4. Rush Fee:

Client understands the completed Intake Packet must be emailed and/or mailed to Moat Note Servicing, **10-15 days prior to the First Payment Date to begin collecting by the assigned due date.** ***If an Incomplete Packet is received after the required time frame, a \$50 RUSH FEE may be incurred.***

\_\_\_\_\_INITIALS

## 5. Research/Correction Fee:

Client understands **\$150 Fee** may be incurred for Account Corrections due to incorrect information provided by Lender, Title Company and/or Attorney.

\_\_\_\_\_INITIALS

## 6. Incomplete Intake Packet Fee:

Client understands an Incomplete Intake Packet Fee may be incurred in the amount of **\$20 per hour** (as applicable) if we receive an incomplete Packet. It is the Lender's responsibility to give Moat Note Servicing, LLC all required documents to efficiently and successfully onboard a new note. When incomplete packets are received, more time and resources are utilized to complete the processing of your account.

\_\_\_\_\_INITIALS

## ESCROW AGREEMENT & NOTIFICATIONS

1. Please reference the escrow chart on **page 8** to determine how many months of Escrow Reserves that need to be collected for **PROPERTY TAXES**.

\_\_\_\_\_INITIALS

2. Client understands Property Taxes Statements for all entities for the property to be serviced must be included with this intake packet. Moat Note Servicing, LLC will not be held responsible for any Property Tax Statements that are not paid on behalf of borrower if the Tax Entity and/or Statement was not provided at the time of the Intake Packet.

\_\_\_\_\_INITIALS

3. Client understands **2 Months of Escrow Reserves are required for an Insurance Policy that begins at the Month of Closing or at the Month the First Payment Date is Due**. Additional Reserves are required for any policy that was active prior to the Closing Month. Client and/or Closing agent will need to contact Moat Note Servicing to verify the amount of Reserves required. **\*\*\*\*BUYER IS RESPONSIBLE FOR THE 1<sup>ST</sup> YEAR OF INSURANCE\*\*\*\***

\_\_\_\_\_INITIALS

4. Client understands that if there is a shortage due to non-payment of Borrower when taxes and/or insurance are due, that the client will be responsible for the shortage. If/when the Borrower becomes current, reimbursement will be made to the client. It will be the client's responsibility to forward any invoices for taxes and/or Insurance to **Moat Note Servicing, LLC**.

\_\_\_\_\_INITIALS

## ESCROW RESERVES: PROPERTY TAX CHART

First Payment Month	Number of Months of Reserves Due
	<b>January</b>
January	2
February	3
March	4
April	5
May	6
June	7
July	8
August	9
September	10
October	11
November	12
December	13

In Texas, the Property Taxes are due in **January**. The preceding month and the month taxes are due, can be complicated to close in. Some Lenders may require 12 months if you close in these months to ensure taxes are paid. In the following month, if taxes are paid, 2 months reserves will suffice. ***Please note: The chart above is going by the 1st payment date and not the closing date.***

**For Example:**

**First Payment Month: MAY**

**Number of Months of Reserves: 6**

**Therefore, if we are collecting a \$100 per month for Taxes, the Total Amount of Reserves due is \$600.00.**

**Please do not hesitate to contact us with any additional questions or concerns.**

**Moat Note Servicing, LLC  
Maria Springer  
Loan Servicing Coordinator  
P.O. Box 17472  
San Antonio, TX 78217  
[Maria@MoatNoteServicing.com](mailto:Maria@MoatNoteServicing.com)  
210-417-4289**

**Moat Note Servicing, LLC  
Direct: (210) 504-8878**



## LENDER ACH INFORMATION

If you would like payments received via ACH Deposits, please provide the following information:

- ***Type of account: Checking/Savings***
- ***Name on account:***
- ***Mailing address on account:***
- ***Name of Bank:***
- ***Bank Mailing Address:***
- ***Bank Routing Number for ACH transactions:***
- ***Account Number:***

**Please attach a copy of a voided check or pre-printed deposit slip.**

*If You have any questions or concerns, please do not hesitate to contact us.*

**Moat Note Servicing, LLC**  
**Direct: (210) 504-8878**  
**Main: (188) 508-3118**

# BORROWER FORM

I, \_\_\_\_\_ (Borrower Name) understand that my Mortgage Payment will be collected by a Note Servicing Company. I agree to send all payments to the following address, made payable **to Moat Note Servicing, LLC** or make the payment on-line.

All payments should be made payable and mailed to:

**Moat Note Servicing, LLC**  
**P.O. Box 17472**  
**San Antonio, Tx 78217**

I understand and agree.

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

**Printed Name** \_\_\_\_\_

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

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

**Printed Name** \_\_\_\_\_

**Date**

# BORROWER CONSENT

## E-SIGN ACT DISCLOSURE CONSENT TO RECEIVE ELECTRONIC DISCLOSURES AND NOTICES

This disclosure documents your consent to conduct transactions electronically and to electronically receive written communications, written disclosures, and written notices relative to the servicing of your mortgage. The disclosure also describes your rights relative to conducting transactions electronically and to electronically receiving written communications, written disclosures, and written notices, as well as the consequences of withdrawing your consent. We recommend you print and keep a copy of this disclosure and as well as all disclosures and agreements related to the servicing of your mortgage.

After you consent, you will be able to communicate electronically regarding your mortgage. If you do not consent, you will not be able to communicate electronically regarding your mortgage but will still be entitled to communicate in person, by telephone, or by U.S. Mail.

You understand, prior to your consent, that:

1. Your consent only applies to written communications, written notices and written disclosures related to or required for all transactions related to the servicing of your mortgage.
2. Unless you consent, you have the right to receive all required written notices, written communications, and written disclosures in paper form (i.e.: non-electronic)
3. After you consent, if you would like to receive a paper copy of a written communication, written disclosure or written notice, we will provide a copy free of charge after you call us or write to us at the address listed below, requesting a copy.
4. You can withdraw your consent at any time by contacting us at the number or the address listed below.
5. Your consent to conduct transactions and receive written communications, written disclosures and written notices electronically means that you agree to provide to us the information (including your current e-mail address) needed to communicate with you electronically and to update us as to any changes in this kind of information by contacting us at the number or address listed below.

*We reserve the right to provide any written communications, written disclosures, or written notices in physical form, rather than electronically. Except as otherwise provided by law or in other agreements, you cannot give us notices electronically, and all notices from you must be in physical form.*

### **Contact Information**

**Moat Note Servicing, LLC**  
**P.O. Box 17472**  
**San Antonio, TX 78217**  
**Direct: (210) 504-8878**  
**Main: (888) 508-3118**

### **Your Consent**

By signing below, I/we confirm that I have read and agree to the terms of the E-sign Act Disclosure above, you consent to receive disclosures and notices electronically and to the terms and conditions described above.

Borrower (date)

\_\_\_\_\_

Co-Borrower (date)

\_\_\_\_\_

Email

## LENDER CONSENT

### E-SIGN ACT DISCLOSURE CONSENT TO RECEIVE ELECTRONIC DISCLOSURES AND NOTICES

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After you consent, you will be able to communicate electronically regarding your mortgage. If you do not consent, you will not be able to communicate electronically regarding your mortgage but will still be entitled to communicate in person, by telephone, or by U.S. Mail.

You understand, prior to your consent, that:

1. Your consent only applies to written communications, written notices and written disclosures related to or required for all transactions related to the servicing of your mortgage.
2. Unless you consent, you have the right to receive all required written notices, written communications, and written disclosures in paper form (i.e.: non-electronic)
3. After you consent, if you would like to receive a paper copy of a written communication, written disclosure or written notice, we will provide a copy free of charge after you call us or write to us at the address listed below, requesting a copy.
4. You can withdraw your consent at any time by contacting us at the number or the address listed below.
5. Your consent to conduct transactions and receive written communications, written disclosures and written notices electronically means that you agree to provide to us the information (including your current e-mail address) needed to communicate with you electronically and to update us as to any changes in this kind of information by contacting us at the number or address listed below.

*We reserve the right to provide any written communications, written disclosures, or written notices in physical form, rather than electronically. Except as otherwise provided by law or in other agreements, you cannot give us notices electronically, and all notices from you must be in physical form.*

#### **Contact Information**

**Moat Note Servicing, LLC**  
**P.O. Box 17472**  
**San Antonio, TX 78217**  
**Direct: (210) 504-8878**  
**Main: (888) 508-3118**

#### **Your Consent**

By signing below, I/we confirm that I have read and agree to the terms of the E-sign Act Disclosure above, you consent to receive disclosures and notices electronically and to the terms and conditions described above.

Lender (date)

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# LENDER

Form **W-9**  
(Rev. October 2018)  
Department of the Treasury  
Internal Revenue Service

## Request for Taxpayer Identification Number and Certification

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

► Go to [www.irs.gov/FormW9](http://www.irs.gov/FormW9) for instructions and the latest information.

Print or type. See Specific Instructions on page 3.	1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.	
	2 Business name/disregarded entity name, if different from above	
	3 Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only <b>one</b> of the following seven boxes.	4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):
	<input type="checkbox"/> Individual/sole proprietor or single-member LLC <input type="checkbox"/> C Corporation <input type="checkbox"/> S Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate	Exempt payee code (if any) _____
	<input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=Partnership) ► _____ <b>Note:</b> Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is <b>not</b> disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner.	Exemption from FATCA reporting code (if any) _____
	<input type="checkbox"/> Other (see instructions) ► _____	(Applies to accounts maintained outside the U.S.)
	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. Also see *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:

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

<b>Sign Here</b>	Signature of U.S. person ►	Date ►

## 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](http://www.irs.gov/FormW9).

## Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following.

- Form 1099-INT (interest earned or paid)

- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)
- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

*If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding, later.*

# BORROWER

## Request for Taxpayer Identification Number and Certification

Form **W-9**  
(Rev. October 2018)  
Department of the Treasury  
Internal Revenue Service

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

► Go to [www.irs.gov/FormW9](http://www.irs.gov/FormW9) for instructions and the latest information.

Print or type. See Specific Instructions on page 3.	1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.	
	2 Business name/disregarded entity name, if different from above	
	3 Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only <b>one</b> of the following seven boxes.	4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):
	<input type="checkbox"/> Individual/sole proprietor or single-member LLC <input type="checkbox"/> C Corporation <input type="checkbox"/> S Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate	Exempt payee code (if any) _____
	<input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=Partnership) ► _____ <b>Note:</b> Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is <b>not</b> disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner.	Exemption from FATCA reporting code (if any) _____
	<input type="checkbox"/> Other (see instructions) ►	(Applies to accounts maintained outside the U.S.)
	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. Also see *What Name and Number To Give the Requester* for guidelines on whose number to enter.

<b>Social security number</b>									
				-			-		
<b>OR</b>									
<b>Employer identification number</b>									
				-					

### Part II Certification

Under penalties of perjury, I certify that:

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

<b>Sign Here</b>	Signature of U.S. person ►	Date ►

## 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](http://www.irs.gov/FormW9).

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- Form 1099-INT (interest earned or paid)

- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)
- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

*If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding, later.*

# Solicitud y Certificación del Número de Identificación del Contribuyente

► Visite [www.irs.gov/FormW9SP](http://www.irs.gov/FormW9SP) para obtener las instrucciones y la información más reciente.

Entregue el formulario al solicitante. No lo envíe al IRS.

Escriba en letra de molde o a máquina. Vea Instrucciones Específicas en la página 3.

1 Nombre (tal como aparece en su declaración de impuestos sobre el ingreso). Se le requiere anotar un nombre en esta línea; no deje esta línea en blanco.	
2 Nombre del negocio/Nombre de la entidad no considerada como separada de su dueño, si es diferente al de arriba.	
3 Marque el encasillado correspondiente para la clasificación tributaria federal de la persona cuyo nombre se indica en la línea 1. Marque solo <b>uno</b> de los siguientes 7 encasillados:  <input type="checkbox"/> Individuo/empresario por cuenta propia o LLC de un solo miembro <input type="checkbox"/> Sociedad anónima tipo C <input type="checkbox"/> Sociedad anónima tipo S <input type="checkbox"/> Sociedad colectiva <input type="checkbox"/> Fideicomiso/caudal hereditario <input type="checkbox"/> Cía. de responsabilidad limitada (LLC). Anote la clasificación tributaria (C=Soc. anónima tipo C, S=Soc. anónima tipo S, P=Soc. colectiva) ► _____ <b>Nota:</b> Marque el encasillado correspondiente en la línea anterior de la clasificación tributaria de la LLC de un solo miembro. No marque LLC si la LLC está clasificada como una de un solo miembro que no es considerada separada de su dueño, a menos que el dueño sea otra LLC que <b>no</b> es considerada separada de su dueño para propósitos tributarios federales estadounidenses. De lo contrario, vea las instrucciones en la página 3.  <input type="checkbox"/> Otro (vea las instrucciones) ► _____	4 Exenciones (los códigos aplican solo a ciertas entidades, no a individuos; vea las instrucciones en la página 4):  Código de beneficiario exento (si alguno) _____  Código para la exención de la declaración conforme a FATCA (si alguno) _____ <i>(aplica a las cuentas mantenidas fuera de los EE.UU.)</i>
5 Dirección (número, calle y número de apartamento o de suite). Vea las instrucciones.	Nombre y dirección del solicitante (opcional)
6 Ciudad, estado y código postal (ZIP)	
7 Anote el (los) número(s) de cuenta(s) aquí (opcional)	

## Parte I Número de identificación del contribuyente (TIN)

Anote su número de identificación del contribuyente (TIN, por sus siglas en inglés) en el encasillado correspondiente. El TIN tiene que concordar con el nombre provisto en la línea 1 para evitar la retención adicional del impuesto. Para los individuos, este es, por lo general, su número de Seguro Social (SSN, por sus siglas en inglés). Sin embargo, para un extranjero residente, empresario por cuenta propia o entidad no considerada como separada de su dueño, vea las instrucciones para la Parte I, más adelante. Para otras entidades, es su número de identificación del empleador (EIN, por sus siglas en inglés). Si no tiene un número, vea **Cómo obtener un TIN**, más adelante.

**Nota:** Si la cuenta está a nombre de más de una persona, vea las instrucciones para la línea 1. Vea también **Nombre y número que se le debe dar al solicitante** para recibir asesoramiento sobre cuál número debe anotar.

Número de Seguro Social								
			-		-			
o								
Número de identificación del empleador								
			-					

## Parte II Certificación

Bajo pena de perjurio, yo declaro que:

1. El número que aparece en este formulario es mi número de identificación de contribuyente correcto (o estoy esperando que me asignen un número) y
2. No estoy sujeto a la retención adicional de impuestos porque: (a) estoy exento de la retención adicional o (b) no he sido notificado por el Servicio de Impuestos Internos (IRS, por sus siglas en inglés) de que estoy sujeto a la retención adicional de impuestos como resultado de no declarar todos los intereses o dividendos o (c) el IRS me ha notificado que ya no estoy sujeto a la retención adicional y
3. Soy ciudadano de los EE.UU. u otra persona de los EE.UU. (definido después) y
4. El (Los) código(s) de la *Foreign Account Tax Compliance Act* (Ley de Cumplimiento Tributario para Cuentas Extranjeras o FATCA, por sus siglas en inglés) anotado(s) en este formulario (si alguno) indicando que estoy exento de declarar conforme a FATCA es el (son los) correcto(s).

**Instrucciones para la certificación.** Tiene que tachar la partida 2 anterior si el IRS le ha notificado que usted en estos momentos está sujeto a la retención adicional de impuestos porque no declaró todos los intereses y dividendos en su declaración de impuestos. Para las transacciones de bienes inmuebles, la partida 2 no corresponde. Para los intereses hipotecarios pagados, la adquisición o abandono de bienes asegurados, la cancelación de deudas, las contribuciones a un arreglo de jubilación individual (IRA, por sus siglas en inglés) y, por lo general, los pagos que no sean intereses y dividendos, no se le requiere firmar la certificación pero tiene que proveer su TIN correcto. Vea las instrucciones para la Parte II, más adelante.

**Firma Aquí**

Firma de la persona de los EE.UU. ►

Fecha ►

## Instrucciones Generales

Las secciones a las cuales se hace referencia son del Código Federal de Impuestos Internos, a menos que se indique de otra manera.

**Acontecimientos futuros.** Si desea obtener información sobre los más recientes acontecimientos que afectan al Formulario W-9(SP) y sus instrucciones, tales como legislación promulgada después de que estos se han publicado, visite [www.irs.gov/FormW9SP](http://www.irs.gov/FormW9SP).

## Propósito del formulario

Una persona o entidad (nombrada en el Formulario W-9(SP)) a quien se le requiera presentar una declaración informativa ante el IRS tiene que obtener su TIN correcto, el cual puede ser su SSN, número de identificación del contribuyente (ITIN, por sus siglas en inglés), número de identificación del contribuyente para adopción (ATIN, por sus siglas en inglés) o EIN, para declarar en una declaración informativa la cantidad pagada a usted u otra cantidad declarada en una declaración informativa. Ejemplos de declaraciones informativas incluyen, pero no se limitan a, los siguientes: