



Thank you for your interest in becoming a C4C Participating Contractor!

Please see below the info needed in order to add your company to our participating contractor list (required forms attached):

- 1) Application-attached
- 2) Copy of all licenses and certifications for all employees
- 3) W-9 Form-attached
- 4) C4C Contractor Agreement-attached
- 5) Insurance certificate to:
 - Capital For Change, Inc.
 - and/or CT Energy Efficiency Finance Co. (CEEFCo)
 - 121 Tremont Street
 - Hartford, CT 06105
- 6) Contractor Payment Choice:

There are two different options to receive payment once the work completion has been confirmed:

 - a) ACH Transfers-Payment will be transferred into your account on the next business day after the work completion has been verified. You must sign the form attached and include a **voided check** (preferred); or
 - b) Paper checks-If you do not want to receive payments via ACH transfer and would like a physical check mailed to you, checks are cut at our office once per week on Wednesdays. If a physical check is desired, please indicate this on your application form

Please do not hesitate to contact C4C with any questions or concerns. Program information regarding the loan options you may participate in for your customers is located at www.capitalforchange.org.

Thank you,

Consumer Lending Staff
Capital For Change, Inc.
Email: lending@capitalforchange.org
Phone: (860) 233-5165 or (800) 992-3665 x2002
Fax: (860) 233-3920
Mailing Address: 121 Tremont Street, Hartford, CT 06105



CAPITAL FOR CHANGE



Connecticut's Energy Efficiency Programs are funded by a charge on Customer energy bills. The Programs are designed to help customers manage their energy usage and cost.

Connecticut's ECL program is funded by the State of Connecticut Department of Housing (DOH).

APPLICATION FOR C4C PARTICIPATING CONTRACTOR STATUS

LEGAL NAME OF BUSINESS: _____ Tax ID _____

TRADING AS OR DBA NAMES _____

Address _____

PHONE () _____ FAX () _____ WEB SITE _____ E-MAIL _____

YEAR STARTED _____ LEGAL FORM C- Corporation LLC Partnership Sole Proprietor

CORPORATE NET ASSETS <\$50,000 \$50,000 to \$250,000 >\$250,000

TYPE OF PRODUCTS SOLD _____

SERVICES PROVIDED _____

ANNUAL SALES < \$500,000 \$500,000 to \$2,000,000 > \$2,000,000

AVG # JOBS/INSTALLATIONS ANNUALLY _____ AVG JOB SIZE \$ _____ % JOBS FINANCED _____%

FINANCING PROGRAMS OFFERED Internal MasterCard/Visa GE Other _____

PRIMARY SERVICE AREA (Towns or Counties) _____

PRINCIPALS

Name (please print) _____ Title _____ % Owned _____ Social Security # _____

Name (please print) _____ Title _____ % Owned _____ Social Security # _____

Name (please print) _____ Title _____ % Owned _____ Social Security # _____

PRIMARY CONTACTS

Sales/Installation Manager _____ Name _____ Email _____ Direct phone _____

Operation/Funding Contact _____ Name _____ Email _____ Direct phone _____

SUPPLIER REFERENCES (Please Print)

Company _____ Contact Person _____ Direct Phone _____

Company _____ Contact Person _____ Direct Phone _____

Company _____ Contact Person _____ Direct Phone _____

TRADE ASSOCIATION MEMBERSHIPS

CERTIFICATIONS (Please provide copies of certifications for all employees, if any):

HERS BPI RESNET Other

I certify that the above information is true and correct, and understand that Capital For Change, Inc. (C4C), may make reference inquiries and that it may order credit reports and/or independent background investigations on the company and principals.

Authorized Signature _____ Date ____/____/20____

Print Name _____ Title _____

Request for Taxpayer Identification Number and Certification

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

Print or type See Specific Instructions on page 2.	Name (as shown on your income tax return)	
	Business name/disregarded entity name, if different from above	
	Check appropriate box for federal tax classification: <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"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▶ _____ <input type="checkbox"/> Other (see instructions) ▶ _____	Exemptions (see instructions): Exempt payee code (if any) _____ Exemption from FATCA reporting code (if any) _____
	Address (number, street, and apt. or suite no.)	Requester's name and address (optional)
	City, state, and ZIP code	
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 the "Name" line to avoid backup withholding. For individuals, this is your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

Social security number									

Note. If the account is in more than one name, see the chart on page 4 for guidelines on whose number to enter.

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 on page 3.

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. The IRS has created a page on IRS.gov for information about Form W-9, at www.irs.gov/w9. Information about any future developments affecting Form W-9 (such as legislation enacted after we release it) will be posted on that page.

Purpose of Form

A person who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) to report, for example, income paid to you, payments made to you in settlement of payment card and third party network transactions, real estate transactions, mortgage interest you paid, acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA.

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN to the person requesting it (the requester) and, when applicable, to:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the

withholding tax on foreign partners' share of effectively connected income, and

4. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct.

Note. If you are a U.S. person and a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

Definition of a U.S. person. For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien,
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States,
- An estate (other than a foreign estate), or
- A domestic trust (as defined in Regulations section 301.7701-7).

Special rules for partnerships. Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax under section 1446 on any foreign partners' share of effectively connected taxable income from such business. Further, in certain cases where a Form W-9 has not been received, the rules under section 1446 require a partnership to presume that a partner is a foreign person, and pay the section 1446 withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid section 1446 withholding on your share of partnership income.

In the cases below, the following person must give Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States:

- In the case of a disregarded entity with a U.S. owner, the U.S. owner of the disregarded entity and not the entity,
- In the case of a grantor trust with a U.S. grantor or other U.S. owner, generally, the U.S. grantor or other U.S. owner of the grantor trust and not the trust, and
- In the case of a U.S. trust (other than a grantor trust), the U.S. trust (other than a grantor trust) and not the beneficiaries of the trust.

Foreign person. If you are a foreign person or the U.S. branch of a foreign bank that has elected to be treated as a U.S. person, do not use Form W-9. Instead, use the appropriate Form W-8 or Form 8233 (see Publication 515, Withholding of Tax on Nonresident Aliens and Foreign Entities).

Nonresident alien who becomes a resident alien. Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a "saving clause." Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the payee has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement to Form W-9 that specifies the following five items:

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.
2. The treaty article addressing the income.
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.
4. The type and amount of income that qualifies for the exemption from tax.
5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

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

If you are a nonresident alien or a foreign entity, give the requester the appropriate completed Form W-8 or Form 8233.

What is backup withholding? Persons making certain payments to you must under certain conditions withhold and pay to the IRS a percentage of such payments. This is called "backup withholding." Payments that may be subject to backup withholding include interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, payments made in settlement of payment card and third party network transactions, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

Payments you receive will be subject to backup withholding if:

1. You do not furnish your TIN to the requester,
2. You do not certify your TIN when required (see the Part II instructions on page 3 for details),
3. The IRS tells the requester that you furnished an incorrect TIN,
4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or
5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See *Exempt payee code* on page 3 and the separate Instructions for the Requester of Form W-9 for more information.

Also see *Special rules for partnerships* on page 1.

What is FATCA reporting? The Foreign Account Tax Compliance Act (FATCA) requires a participating foreign financial institution to report all United States account holders that are specified United States persons. Certain payees are exempt from FATCA reporting. See *Exemption from FATCA reporting code* on page 3 and the Instructions for the Requester of Form W-9 for more information.

Updating Your Information

You must provide updated information to any person to whom you claimed to be an exempt payee if you are no longer an exempt payee and anticipate receiving reportable payments in the future from this person. For example, you may need to provide updated information if you are a C corporation that elects to be an S corporation, or if you no longer are tax exempt. In addition, you must furnish a new Form W-9 if the name or TIN changes for the account, for example, if the grantor of a grantor trust dies.

Penalties

Failure to furnish TIN. If you fail to furnish your correct TIN to a requester, you are subject to a penalty of \$50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

Civil penalty for false information with respect to withholding. If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a \$500 penalty.

Criminal penalty for falsifying information. Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

Misuse of TINs. If the requester discloses or uses TINs in violation of federal law, the requester may be subject to civil and criminal penalties.

Specific Instructions

Name

If you are an individual, you must generally enter the name shown on your income tax return. However, if you have changed your last name, for instance, due to marriage without informing the Social Security Administration of the name change, enter your first name, the last name shown on your social security card, and your new last name.

If the account is in joint names, list first, and then circle, the name of the person or entity whose number you entered in Part I of the form.

Sole proprietor. Enter your individual name as shown on your income tax return on the "Name" line. You may enter your business, trade, or "doing business as (DBA)" name on the "Business name/disregarded entity name" line.

Partnership, C Corporation, or S Corporation. Enter the entity's name on the "Name" line and any business, trade, or "doing business as (DBA) name" on the "Business name/disregarded entity name" line.

Disregarded entity. For U.S. federal tax purposes, an entity that is disregarded as an entity separate from its owner is treated as a "disregarded entity." See Regulation section 301.7701-2(c)(2)(iii). Enter the owner's name on the "Name" line. The name of the entity entered on the "Name" line should never be a disregarded entity. The name on the "Name" line must be the name shown on the income tax return on which the income should be reported. For example, if a foreign LLC that is treated as a disregarded entity for U.S. federal tax purposes has a single owner that is a U.S. person, the U.S. owner's name is required to be provided on the "Name" line. If the direct owner of the entity is also a disregarded entity, enter the first owner that is not disregarded for federal tax purposes. Enter the disregarded entity's name on the "Business name/disregarded entity name" line. If the owner of the disregarded entity is a foreign person, the owner must complete an appropriate Form W-8 instead of a Form W-9. This is the case even if the foreign person has a U.S. TIN.

Note. Check the appropriate box for the U.S. federal tax classification of the person whose name is entered on the "Name" line (Individual/sole proprietor, Partnership, C Corporation, S Corporation, Trust/estate).

Limited Liability Company (LLC). If the person identified on the "Name" line is an LLC, check the "limited liability company" box only and enter the appropriate code for the U.S. federal tax classification in the space provided. If you are an LLC that is treated as a partnership for U.S. federal tax purposes, enter "P" for partnership. If you are an LLC that has filed a Form 8832 or a Form 2553 to be taxed as a corporation, enter "C" for C corporation or "S" for S corporation, as appropriate. If you are an LLC that is disregarded as an entity separate from its owner under Regulation section 301.7701-3 (except for employment and excise tax), do not check the LLC box unless the owner of the LLC (required to be identified on the "Name" line) is another LLC that is not disregarded for U.S. federal tax purposes. If the LLC is disregarded as an entity separate from its owner, enter the appropriate tax classification of the owner identified on the "Name" line.

Other entities. Enter your business name as shown on required U.S. federal tax documents on the "Name" line. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on the "Business name/disregarded entity name" line.

Exemptions

If you are exempt from backup withholding and/or FATCA reporting, enter in the *Exemptions* box, any code(s) that may apply to you. See *Exempt payee code* and *Exemption from FATCA reporting code* on page 3.

Exempt payee code. Generally, individuals (including sole proprietors) are not exempt from backup withholding. Corporations are exempt from backup withholding for certain payments, such as interest and dividends. Corporations are not exempt from backup withholding for payments made in settlement of payment card or third party network transactions.

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

The following codes identify payees that are exempt from backup withholding:

- 1—An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2)
- 2—The United States or any of its agencies or instrumentalities
- 3—A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities
- 4—A foreign government or any of its political subdivisions, agencies, or instrumentalities
- 5—A corporation
- 6—A dealer in securities or commodities required to register in the United States, the District of Columbia, or a possession of the United States
- 7—A futures commission merchant registered with the Commodity Futures Trading Commission
- 8—A real estate investment trust
- 9—An entity registered at all times during the tax year under the Investment Company Act of 1940
- 10—A common trust fund operated by a bank under section 584(a)
- 11—A financial institution
- 12—A middleman known in the investment community as a nominee or custodian
- 13—A trust exempt from tax under section 664 or described in section 4947

The following chart shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 13.

IF the payment is for . . .	THEN the payment is exempt for . . .
Interest and dividend payments	All exempt payees except for 7
Broker transactions	Exempt payees 1 through 4 and 6 through 11 and all C corporations. S corporations must not enter an exempt payee code because they are exempt only for sales of noncovered securities acquired prior to 2012.
Barter exchange transactions and patronage dividends	Exempt payees 1 through 4
Payments over \$600 required to be reported and direct sales over \$5,000 ¹	Generally, exempt payees 1 through 5 ²
Payments made in settlement of payment card or third party network transactions	Exempt payees 1 through 4

¹ See Form 1099-MISC, Miscellaneous Income, and its instructions.

² However, the following payments made to a corporation and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees, gross proceeds paid to an attorney, and payments for services paid by a federal executive agency.

Exemption from FATCA reporting code. The following codes identify payees that are exempt from reporting under FATCA. These codes apply to persons submitting this form for accounts maintained outside of the United States by certain foreign financial institutions. Therefore, if you are only submitting this form for an account you hold in the United States, you may leave this field blank. Consult with the person requesting this form if you are uncertain if the financial institution is subject to these requirements.

- A—An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)
- B—The United States or any of its agencies or instrumentalities
- C—A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities
- D—A corporation the stock of which is regularly traded on one or more established securities markets, as described in Reg. section 1.1472-1(c)(1)(i)
- E—A corporation that is a member of the same expanded affiliated group as a corporation described in Reg. section 1.1472-1(c)(1)(i)
- F—A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state

- G—A real estate investment trust
- H—A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940
- I—A common trust fund as defined in section 584(a)
- J—A bank as defined in section 581
- K—A broker
- L—A trust exempt from tax under section 664 or described in section 4947(a)(1)
- M—A tax exempt trust under a section 403(b) plan or section 457(g) plan

Part I. Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. If you are a resident alien and you do not have and are not eligible to get an SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box. If you do not have an ITIN, see *How to get a TIN* below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN. However, the IRS prefers that you use your SSN.

If you are a single-member LLC that is disregarded as an entity separate from its owner (see *Limited Liability Company (LLC)* on page 2), enter the owner's SSN (or EIN, if the owner has one). Do not enter the disregarded entity's EIN. If the LLC is classified as a corporation or partnership, enter the entity's EIN.

Note. See the chart on page 4 for further clarification of name and TIN combinations.

How to get a TIN. If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local Social Security Administration office or get this form online at www.ssa.gov. You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at www.irs.gov/businesses and clicking on Employer Identification Number (EIN) under Starting a Business. You can get Forms W-7 and SS-4 from the IRS by visiting IRS.gov or by calling 1-800-TAX-FORM (1-800-829-3676).

If you are asked to complete Form W-9 but do not have a TIN, apply for a TIN and write "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

Note. Entering "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

Caution: A disregarded U.S. entity that has a foreign owner must use the appropriate Form W-8.

Part II. Certification

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if items 1, 4, or 5 below indicate otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). In the case of a disregarded entity, the person identified on the "Name" line must sign. Exempt payees, see *Exempt payee code* earlier.

Signature requirements. Complete the certification as indicated in items 1 through 5 below.

1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983. You must give your correct TIN, but you do not have to sign the certification.

2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983. You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

3. Real estate transactions. You must sign the certification. You may cross out item 2 of the certification.

4. Other payments. You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments made in settlement of payment card and third party network transactions, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions. You must give your correct TIN, but you do not have to sign the certification.

What Name and Number To Give the Requester

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account)	The actual owner of the account or, if combined funds, the first individual on the account ¹
3. Custodian account of a minor (Uniform Gift to Minors Act)	The minor ²
4. a. The usual revocable savings trust (grantor is also trustee)	The grantor-trustee ¹
b. So-called trust account that is not a legal or valid trust under state law	The actual owner ¹
5. Sole proprietorship or disregarded entity owned by an individual	The owner ³
6. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulation section 1.671-4(b)(2)(i)(A))	The grantor*
For this type of account:	Give name and EIN of:
7. Disregarded entity not owned by an individual	The owner
8. A valid trust, estate, or pension trust	Legal entity ⁴
9. Corporation or LLC electing corporate status on Form 8832 or Form 2553	The corporation
10. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
11. Partnership or multi-member LLC	The partnership
12. A broker or registered nominee	The broker or nominee
13. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity
14. Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulation section 1.671-4(b)(2)(i)(B))	The trust

¹ List first and circle the name of the person whose number you furnish. If only one person on a joint account has an SSN, that person's number must be furnished.

² Circle the minor's name and furnish the minor's SSN.

³ You must show your individual name and you may also enter your business or "DBA" name on the "Business name/disregarded entity" name line. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.

⁴ List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.) Also see *Special rules for partnerships* on page 1.

*Note. Grantor also must provide a Form W-9 to trustee of trust.

Note. If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

Secure Your Tax Records from Identity Theft

Identity theft occurs when someone uses your personal information such as your name, social security number (SSN), or other identifying information, without your permission, to commit fraud or other crimes. An identity thief may use your SSN to get a job or may file a tax return using your SSN to receive a refund.

To reduce your risk:

- Protect your SSN,
- Ensure your employer is protecting your SSN, and
- Be careful when choosing a tax preparer.

If your tax records are affected by identity theft and you receive a notice from the IRS, respond right away to the name and phone number printed on the IRS notice or letter.

If your tax records are not currently affected by identity theft but you think you are at risk due to a lost or stolen purse or wallet, questionable credit card activity or credit report, contact the IRS Identity Theft Hotline at 1-800-908-4490 or submit Form 14039.

For more information, see Publication 4535, Identity Theft Prevention and Victim Assistance.

Victims of identity theft who are experiencing economic harm or a system problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be eligible for Taxpayer Advocate Service (TAS) assistance. You can reach TAS by calling the TAS toll-free case intake line at 1-877-777-4778 or TTY/TDD 1-800-829-4059.

Protect yourself from suspicious emails or phishing schemes. Phishing is the creation and use of email and websites designed to mimic legitimate business emails and websites. The most common act is sending an email to a user falsely claiming to be an established legitimate enterprise in an attempt to scam the user into surrendering private information that will be used for identity theft.

The IRS does not initiate contacts with taxpayers via emails. Also, the IRS does not request personal detailed information through email or ask taxpayers for the PIN numbers, passwords, or similar secret access information for their credit card, bank, or other financial accounts.

If you receive an unsolicited email claiming to be from the IRS, forward this message to phishing@irs.gov. You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at: spam@uce.gov or contact them at www.ftc.gov/idtheft or 1-877-IDTHEFT (1-877-438-4338).

Visit IRS.gov to learn more about identity theft and how to reduce your risk.

Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons (including federal agencies) who are required to file information returns with the IRS to report interest, dividends, or certain other income paid to you; mortgage interest you paid; the acquisition or abandonment of secured property; the cancellation of debt; or contributions you made to an IRA, Archer MSA, or HSA. The person collecting this form uses the information on the form to file information returns with the IRS, reporting the above information. Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation and to cities, states, the District of Columbia, and U.S. commonwealths and possessions for use in administering their laws. The information also may be disclosed to other countries under a treaty, to federal and state agencies to enforce civil and criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism. You must provide your TIN whether or not you are required to file a tax return. Under section 3406, payers must generally withhold a percentage of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to the payer. Certain penalties may also apply for providing false or fraudulent information.

APPROVED CONTRACTOR AGREEMENT

This Approved Contractor Agreement (“Agreement”) is made this _____ day of _____, 2017, by and between Capital For Change, Inc. (“C4C”), with offices located at 121 Tremont Street Hartford, CT 06105 and _____ (“Approved Contractor”), with offices located at _____.

C4C and Contractor are sometimes hereinafter referred to individually as a “Party” and collectively as the “Parties” in this Agreement.

PRELEMINARY STATEMENT

WHEREAS, C4C administers residential financing programs that provide energy efficiency and home improvement loans to CT property owners (“C4C Loan Programs”), including, but not limited to, the Home Energy Solutions (“HES”) loan program offered through Eversource and the United Illuminating Company (“UI”), the Smart-E loan program offered in partnership with the CT Green Bank, and the Energy Conservation Loan (“ECL”) loan program offered by the State of Connecticut through its Department of Housing (“DOH”); and

WHEREAS, the C4C Loan Programs, among other purposes, are designed to deliver loan products for certain residential energy efficiency and other home improvements eligible for funding under the C4C Loan Programs to qualified residential properties in Connecticut (“Products and Services”); and

WHEREAS, C4C requires that certain standards, including, but not limited to, state licensing, insurance coverage, industry certification, work performance and an agreement to adhere to the requirements of C4C’s Loan Programs (“Contractor Standards”) must be met and maintained by contractors, if they are to be approved by C4C (“Approved Contractors”) to deliver Products and Services to C4C-approved borrowers; and

WHEREAS, C4C desires to maintain and advertise to CT property owners a roster of such Approved Contractors (“Approved Contractor Roster”) in order to promote the Approved Contractors’ services and facilitate property owners’ access to same; and

WHEREAS, the Approved Contractors on the Approved Contractor Roster are in the residential energy efficiency and/or home improvement business and desire to be placed on the Approved Contractor Roster and deliver Products and Services under the C4C Loan Programs;

NOW THEREFORE, in consideration of the foregoing and the mutual covenants hereinafter set forth, the Parties agree as follows:

1. Approved Contractor Services. When a Contractor meets C4C’s Contractor Standards, C4C hereby agrees to place Approved Contractor on the Approved Contractor Roster, thereby allowing the Approved Contractor to offer C4C’s Products and Services to customers. Prior to the delivery of any Products and Services to customers, Approved Contractor will provide or direct the customer to the appropriate C4C loan applications and other marketing

materials pertinent to the C4C Loan Programs, or to C4C's website. The Approved Contractor shall be entirely and solely responsible for Approved Contractor's acts and the acts of Approved Contractor's agents and employees while engaged in the deliverance of the Products and Services hereunder.

2. Term of Agreement. This Agreement is effective as of the date hereof and shall continue in full force and effect until terminated by either Party by written notice to the other Party. Notwithstanding the foregoing, C4C reserves the right to terminate Approved Contractor from the Approved Contractor Roster, or to terminate the Approved Contractor Roster entirely, for any reason or for no reason and in C4C's sole discretion. Approved Contractor's placement on the Approved Contractor Roster does not guarantee that Approved Contractor will deliver Products and Services under the Loan Program. Approved Contractors that do not maintain compliance with the Contractor Standards and this Agreement shall be removed from the Approved Contractor Roster and will not be recognized as an Approved Contractor.

3. Representations and Warranties of Approved Contractor. Approved Contractor represents, warrants, and covenants to C4C that:

a. At all times during the term of this Agreement, Approved Contractor shall be licensed, authorized to conduct business, in good standing in the State of Connecticut and be legally authorized under Connecticut law to deliver Products and Services under C4C's Loan Programs;

b. Approved Contractor shall not represent itself as an agent or employee of C4C and shall use the C4C program name and logos, or C4C's partners' names and logos only as expressly permitted by C4C or its partners.

c. With regard to the delivery of Products and Services, Approved Contractor has complied, or will comply, with all applicable laws and regulations.

d. Approved Contractor agrees to deliver the Products and Services and install the Products and Services at the customer's residence in a good and workmanlike manner, accepted by the customer in good and habitable condition and working order, conforming with all expressed or implied warranties, representations, legal obligations and local, state and federal requirements, and codes concerning the condition, construction, and installation of the eligible improvements.

e. Upon receipt of notice from C4C to correct any defective work and/or to replace defective material, Approved Contractor will, within sixty (60) days of such notice, correct defective work and/or replace any defective materials. **THE APPROVED CONTRACTOR SHALL GUARANTEE ITS PERFORMANCE IN THE DELIVERY OF PRODUCTS AND SERVICES UNDER THE LOAN PROGRAMS.**

f. C4C may inspect Approved Contractor's records and delivered and/or installed Products and Services to determine compliance with this Agreement and Loan Program requirements.

g. The C4C Loan Programs require that all financed improvements may not be installed until the Borrower has executed the loan closing documents. Payment for the financed improvements will be remitted directly to the Approved Contractor upon C4C's receipt from both the Borrower and the Approved Contractor of Work Completion documents that C4C may require from time to time. These Work Completion documents must be received by C4C within

sixty (60) days of the date of execution of the loan closing documents. Extensions to this timeframe must be requested in writing prior to the expiration of the 60-day period. If C4C is notified of a documented dispute between the Approved Contractor and the Borrower that has caused a delay in providing the Work Completion documents, C4C reserves the right under clauses 3(e) and 3(f) to have all covered work inspected by a qualified third-party and will require the Approved Contractor to make any necessary repairs or replacements indicated in the inspection report.

4. Breach of Representations and Warranties. In the event that Approved Contractor breaches any of the representations and/or warranties herein, C4C shall have the right to terminate this Agreement with Approved Contractor and bar Approved Contractor from any further participation in the Loan Program. Notwithstanding the foregoing, C4C reserves the right to terminate Approved Contractor from the Approved Contractor Roster for any reason and for no reason in C4C's sole discretion.

5. Approved Contractor Reporting Requirements. Concurrent with the execution of this Agreement, Approved Contractor agrees to provide C4C:

a. Three trade references demonstrating Approved Contractor's professional ability to deliver the Products and Services under C4C's Loan Programs;

b. A copy of any licenses and/or certifications required by law or C4C's policy for the Approved Contractor's deliverance of Products and Services under C4C's Loan Programs; and

c. A copy of all liability and workmen's compensation insurance policies, naming C4C as additional insured, related to the Approved Contractor's delivery of Products and Services under C4C's Loan Programs;

6. Notices. All notices between the Parties shall be in writing and shall be sent by registered or certified U.S. Mail, return receipt requested, addressed to the address set forth below, (except that C4C may notify Approved Contractor of changes in its programs and procedures from time to time orally, by email, by fax, by mail, by hand delivery, or by whatever means C4C in its sole discretion deems appropriate), or to such other address as may be specified by written notices delivered in accordance herewith.

7. Status. In the performance of Approved Contractor's duties under this Agreement, Approved Contractor shall at all times be acting and performing as an independent contractor and not as an employee of C4C or its partners.

8. Governing Law. This Agreement shall be governed by the laws of the State of Connecticut.

9. Assignment. The rights and obligations under this Agreement are not assignable by Approved Contractor. C4C may assign all or any part of its rights hereunder without the consent of Approved Contractor.

10. Taxes and Insurance. As an independent contractor, Approved Contractor shall be responsible for payment of all federal and state taxes related to the compensation received by the

Approved Contractor for the Products and Services rendered hereunder. Approved Contractor shall also be responsible for the cost of providing its employees, if any, with insurance of any type or description, including, without limitation, workers' compensation, liability, disability income, property, business interruption, health, major medical, life or any other insurance.

11. Indemnification. Approved Contractor shall indemnify, defend and hold C4C and all of C4C's Loan Program partners harmless from and against any and all claims, demands or liabilities arising in connection with the deliverance of Products and Services hereunder by Approved Contractor, its employees or agents, including, but not limited to, all claims or assessments, for withholding of federal, state or local income taxes, and taxes under the Federal Insurance Contribution Act (FICA) and the Federal Unemployment Taxation Act (FUTA), and any reasonable attorneys' fees and costs associated therewith.

12. Authority. Approved Contractor shall have no authority to enter into contracts or agreements on behalf of C4C.

13. Benefit. This Agreement shall inure to the benefit of and be binding upon C4C, C4C's successors and assigns.

14. Entire Agreement. This Agreement constitutes the entire understanding of Approved Contractor and C4C with respect to the subject matter hereof and supersedes any and all prior understandings written or oral. This Agreement may not be changed, modified, or discharged orally, but only by an instrument in writing signed by the Parties. This Agreement shall be governed by and construed and enforced in accordance with the laws of the State of Connecticut, and the invalidity or unenforceability of any provisions hereof shall in no way affect the validity or enforceability of any other provision.

IN WITNESS WHEREOF, the Parties hereto have executed this Agreement on the date first hereinabove set forth.

Capital For Change, Inc.

By: _____
Kristen M. Fusco
Manager-Consumer Lending

Approved Contractor:

By: _____
Print Name: _____
Title: _____

AUTHORIZATION AGREEMENT FOR DIRECT DEPOSITS/PAYMENTS (ACH DEPOSITS/CREDITS)

Company Name _____ Tax Identification Number _____

I (We) hereby authorize Capital For Change, Inc. and/or the Connecticut Energy Efficiency Finance Company to initiate credit entries to my (our) Checking Account/ Savings Account (select one) indicated below at the depository financial institution named below, hereinafter called DEPOSITORY, or to reverse a credit entry or portion thereof (in the case of an error) to such account. I (We) acknowledge that the origination of ACH transactions to my (our) account must comply with the provisions of U.S. law.

Depository Name _____ Branch _____

City _____ State _____ Zip _____

9-Digit Routing Number* _ _ _ _ _ Account Number _____

This authorization is to remain in full force and effect until Capital For Change, Inc. and/or the Connecticut Energy Efficiency Finance Company has received written notification from COMPANY of its termination in such time and in such manner as to afford Capital For Change, Inc. and/or the Connecticut Energy Efficiency Finance Company a reasonable opportunity to act on it.

Name(s) _____ Title _____
(Please Print)

Telephone _____ Fax _____

Email Address _____ Email Address: _____

Date _____ Signature _____

NOTE: The COMPANY may revoke the authorization only by notifying Capital For Change, Inc. (C4C) and/or the Connecticut Energy Efficiency Finance Company in writing, in the manner specified in this Authorization Form.

Please include a voided check and return both items to: C4C, Attn: Contractor Approval, 121 Tremont Street, Hartford CT 06105

***Please confirm with your bank that this is the correct routing number to use for ACH transactions**