



## Substitute Form W-9 and Supplier Supplemental Form U.S. Individuals and Business Entities

### Instructions

This form must be completed and submitted to Caltech Supplier Management. The information requested is required to add your company/business to the supplier database and payment systems. Upload completed form securely at <https://pdropbox.caltech.edu> or fax to (626) 666-3928. For your security, do NOT e-mail this form.

### Supplier/Payee Information

<b>Legal Name</b> <i>(as registered with the IRS)</i>			
<b>Business Name/DBA</b> <i>(if different from above)</i>			
<b>Website/URL</b>			
<b>Remittance Address</b>			
<b>City/State/Zip</b>			
<b>Contact Name</b>		<b>PO Contact</b> <i>(if different)</i>	
<b>Phone Number</b>		<b>Fax Number</b>	
<b>E-Mail</b>		<b>E-Mail for PO</b> <i>(if different)</i>	
<b>Mailing Address</b> <i>(if different from above)</i>			
<b>City/State/Zip</b>			

### Federal Tax Classification (Check one)

<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"/> Other
<input type="checkbox"/> LLC (C=C Corporation, S=S Corporation, P=Partnership)		

### Taxpayer Identification Number

Enter your TIN in the appropriate box. The TIN provided must match the Legal Name above to avoid backup withholding. **Select one only.**

<b>Federal Employer ID Number (FEIN) or</b>	
<b>Social Security Number (SSN)</b>	

### Business Information

I am not a resident of California but registered with the CA Secretary of State (SOS) to do business in the State. <b>Submit CA FTB Form 590.</b>		
I provide items controlled under the International Traffic in Arms Regulations (ITAR).		
<b>DUNS Number</b>		<b>Primary NAICS Code</b> <a href="https://www.naics.com/search/">https://www.naics.com/search/</a>
I do not have a DUNS Number		

Payment Terms			
NET15 (if enrolled in e-Pay program)		NET55	
Payment Method			
Direct Deposit (EFT)	e-Pay (virtual card)		Check
Type of Service or Payment			
Supplier/Goods	Services	Medical Service	Legal/Attorney
Rent/Lease	Prize/Award	Royalty	
Human Subject	Honorarium	Other	
California Sales & Use Tax Information			
I am a CA supplier and collect sales tax in CA.			Seller Permit Number
I am not a CA supplier but registered with the CDTFA to collect sales tax in CA.			
I am not a CA supplier and I am not registered to collect sales tax in CA. I do not have a CA Seller's Permit.			
Small Business Utilization – Federal Certification			
As a recipient of federal funds, Caltech is required to collect and report information on suppliers classified as Small Business. Supplier must self-certify with the Federal Government. For additional information, visit: <a href="https://www.sba.gov/">https://www.sba.gov/</a>			
<b>Select one:</b>	Women-owned	Not Women-owned	
<b>Select one:</b>	Large Business	Small Business (select all that apply below)	
VOSB (Veteran-owned)		SDVOSB (Service-disabled Veteran-owned)	
HUBZone (Historically Under-utilized)		SDB (Small Disadvantaged Business)	
HBCU (Historically Black College/Univ)		MI (Minority Institution)	
African American	Asian Pacific American	Hispanic American	
Native American	Alaska Native Corp/Indian Tribe	Caucasian/Other	
Certification and Signature			
Under penalties of perjury, I certify that:			
<ol style="list-style-type: none"> <li>The number shown on this form is my correct taxpayer identification number; and</li> <li>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</li> <li>I am a U.S. citizen or other U.S. person</li> </ol>			
<b>Name</b>		<b>Title</b>	
<b>Signature/Date</b>			