



**LAND USE PERMIT  
LUP-LT  
Lighting Installation**

Section [24VAC30-151-420](#) of the Virginia Department of Transportation (VDOT) Land Use Permit Regulations stipulates land use permits may be issued granting authorization for the placement of lighting facilities to be located on or overhanging state maintained right-of-way.

**VDOT Land Use Permit Required by Law**

The General Rules and Regulations of the Commonwealth Transportation Board provide that no work of any nature shall be performed on any real property under the ownership, control, or jurisdiction of VDOT until written permission has been obtained from VDOT. Written permission is granted for the placement of lighting facilities on or to overhang state maintained right-of-way through the issuance of a land use permit.

By issuing a permit, VDOT is giving permission only for whatever rights it has in the right-of-way; the permittee is responsible for obtaining permission from others who may also have an interest in the property.

The permittee will be civilly liable to the Commonwealth for expenses and damages incurred by VDOT as a result of violation of any of the rules and regulations of this chapter. Violators shall be guilty of a misdemeanor and, upon conviction, shall be punished as provided for in [§33.2-210](#) of the Code of Virginia.

**Application Requirements**

Applications made for a land use permit authorizing the placement of lighting facilities to be located on or overhang state maintained right-of-way shall be made through the local district permit office where the activity is to take place.

The district administrator's designee will coordinate review and approval of the request with the appropriate VDOT personnel prior to permit issuance.

**Contact Information**

A list of counties with their corresponding VDOT district offices and contact information may be obtained on the VDOT web site at: <http://www.virginiadot.org/about/districts.asp>

**Permit Fees & Charges**

The land use permit application shall include a check or cash in the amount of \$100.00 plus \$10.00 per proposed above-ground structure.

**Surety Requirement**

The permittee shall provide surety to guarantee the satisfactory performance of the installation of the lighting facilities within state maintained highway right-of-way. The surety may be in the form of a check, cash, LUP-SB surety bond, LUP-LC irrevocable letter of credit, or any other VDOT-approved method and will be refunded or released upon satisfactory completion of the initial installation and inspection by VDOT. Prior to release of the performance surety provided for the initial installation the permittee shall provide VDOT with a continuous surety in an amount sufficient to restore the right-of-way in the event of damage, failure or default. The surety amount shall be determined by the district administrator's designee and may be in the form of a check, cash, LUP-SB surety bond, or any other VDOT-approved method. Governmental customers may use a Resolution in lieu of a permit surety Bond or irrevocable letter of credit bank agreement.

### **Cash Surety Refund**

Applicants owing the Internal Revenue Service or the Commonwealth of Virginia may not receive a refund of the cash guarantee provided for the issuance of a VDOT land use permit unless the amount owed is less than the amount of cash guarantee provided. Applicants providing cash guarantee for the issuance of a VDOT land use permit must provide an executed copy of the Commonwealth of Virginia's Substitute Form W-9 to receive a refund of the cash guarantee provided for the issuance of a VDOT land use permit.

### **Insurance Requirements**

The permittee shall secure and maintain sufficient insurance to protect against liability for personal injury and property damage that may arise from the installation of lighting facilities within state maintained right of way. Insurance must be obtained prior to commencement of the permitted activity and shall remain valid shall remain in full force as long as the lighting facilities remain within the right-of-way. The district administrator's designee may require a valid certificate or letter of insurance from the issuing insurance agent or agency prior to issuing the land use permit.

### **General Requirements**

1) Permittee acceptance and use of a Virginia Department of Transportation (VDOT) land use permit is prima facie evidence that the permittee has read and is fully cognizant of all required permit provisions, applicable traffic control plans and associated construction standards to be employed. All applicants to whom permits are issued shall at all times indemnify and save harmless the Commonwealth Transportation Board, members of the Board, the Commonwealth, and all Commonwealth employees, agents, and officers, from responsibility, damage, or liability arising from the exercise of the privileges granted in such permit to the extent allowed by law including any sums ordered to be paid or expended by VDOT by any governmental entity as a fine, penalty or damages for any violation of any applicable environmental law, or to remediate any hazardous or other material, including illicit discharge into VDOT maintained storm sewer systems.

2) The permittee or their agent must contact the VDOT Customer Service Center at 1-800-367-7623 a minimum of 48 hours prior to initiating any planned excavation within 1,000 feet of a signalized intersection and/or near VDOT ITS infrastructure. Excavation activities may proceed only after the VDOT regional utility location agent has notified the permittee that the utility marking has been completed. Additional information can be found at: [http://www.virginiadot.org/business/resources/IIM/TE-383\\_Request\\_for\\_Marking\\_VDOT\\_Utility\\_Location.pdf](http://www.virginiadot.org/business/resources/IIM/TE-383_Request_for_Marking_VDOT_Utility_Location.pdf)

Alternately, within all localities in the Northern Virginia Construction District, including the Counties of Arlington, Fairfax, Loudoun & Prince William, the Cities of Alexandria, Fairfax, Falls Church, Manassas and Manassas Park, and the Towns of Clifton, Dumfries, Hamilton, Haymarket, Herndon, Hillsboro, Leesburg, Lovettsville, Middleburg, Occoquan, Purcellville, Quantico, Round Hill and Vienna, and on Interstate 95 in the counties of Stafford, Spotsylvania and Caroline, the permittee may request VDOT regional utility marking at: <http://www.vdotutilitymarking.virginia.gov>  
Failure to carry out this requirement may result in permit revocation.

- 3) Within the limits of a VDOT construction project it is the responsibility of the permit applicant to obtain the contractor's consent in writing prior to permit issuance. Information regarding current and/or planned VDOT construction and maintenance activities can be obtained at: <http://www.virginiaroads.org/>.
- 4) A copy of the VDOT land use permit shall be maintained at the work site and made readily available for inspection when requested by authorized VDOT personnel.
- 5) The permittee assumes full responsibility for any and all (downstream flooding, erosion, siltation, etc.) damages that may occur as a result of the work performed under this permit. Furthermore, the Department will in no way be responsible for any damage to the facility being placed as a result of future maintenance or construction activities performed by the Department.
- 6) The permittee agrees to move, remove, alter, or change any installation that interferes with the ultimate construction of the highway in alignment or grade at no cost to the Department unless otherwise stipulated and agreed to by the Department.
- 7) The permittee shall immediately correct any situation that may arise as a result of these activities that the district administrator's designee deems hazardous to the traveling public.

- 8) Any and all highway signs, right-of-way markers, etc., disturbed as a result of work performed under the auspices of a land use permit shall be accurately reset by the permittee immediately following the work in the vicinity of the disturbed facility. The services of a certified land surveyor with experience in route surveying may be required.
- 9) The permittee shall to notify "Miss Utility" (or each operator of an underground utility where no notification center exists) of any planned excavation within state maintained right-of-way. This notification must be provided at least 48 hours (excluding weekends and holidays) in advance of commencing with any planned excavation within state maintained right-of-way. Failure to carry out this requirement may result in permit revocation.
- 10) The permittee shall at all times give strict attention to the safety and rights of the traveling public, their employees and themselves. VDOT reserves the right to stop work at any time due to safety problems and/or non-compliance with the terms of the permit. The Department may, at its discretion, complete any of the work covered in the permit or restore the right-of-way to the department's standards and invoice the permittee for the actual cost of such work. The permittee may be required to move, alter, change or remove from state maintained right-of-way, in a satisfactory manner, any installation made under this permit.
- 11) All work authorized under the auspices of a VDOT land use permit shall be subject to VDOT's direction and be in accordance with VDOT's Road and Bridge Standards (current edition) and VDOT's Road and Bridge Specifications (current edition).
- 12) Design changes, specified material changes and/or field changes from the approved plans shall be submitted to the appropriate district administrator's designee for review and approval prior to proceeding with the proposed changes. This submittal shall include written justification, supplemental documentation and/or engineering calculations that support the requested changes.

#### **Design Requirements**

- 1) The applicant shall submit to the district administrator's designee two (2) copies of scale drawings depicting lighting pole locations, mounting heights, pole and base type, type and wattage of luminaries and support arm lengths.
- 2) Roadway lighting shall be designed and installed in accordance with VDOT's Road and Bridge Specifications.
- 3) The design of roadway lighting facilities shall be based upon the specifications developed by the Illuminating Engineering Society in the manual, American National Standard Practice for Roadway Lighting. The Roadway Lighting Design Guide by the American Association of State Highway and Transportation Officials (AASHTO) may be used as a supplemental guide.
- 4) Lighting support poles shall be placed in accordance with VDOT clear zone requirements however consideration may be given for the placement of support poles within the highway clear zone that are of breakaway or frangible type or be properly protected with a positive barrier system.
- 5) Lighting support poles placed behind a positive barrier system or where a system is installed to shield the support poles, the deflection zone of the barrier system must remain totally unobstructed in accordance with current VDOT standards and specifications.
- 6) Breakaway or frangible type lighting support poles should not be installed where a falling pole may create a safety hazard for pedestrians, vehicular traffic or adjacent buildings.
- 7) Lighting facilities may be attached to existing poles located within or adjacent to state maintained right-of-way. Consideration may be given to the placement of additional poles in an existing pole line when necessary to provide proper illumination.

#### **Traffic Control & Safety**

- 1) The permittee shall at all times give strict attention to the safety and rights of the traveling public, their employees, and contractors. Any permit may be revoked or suspended when in the opinion of the district administrator's designee, the safety, use or maintenance of the highway so requires.
- 2) In accordance with the Virginia Department of Transportation (VDOT) Road and Bridge Specification, Special Provision 105.14, all activities performed under the auspices of a VDOT Land Use Permit involving the installation, maintenance and removal of

work zone traffic control devices must have an individual on-site who, at a minimum, is accredited by VDOT in Basic Work Zone Traffic Control. The accredited person must have their VDOT Work Zone Traffic Control accreditation card in their possession.

- 3) The individual accredited in Basic Work Zone Traffic Control is responsible for the placement, maintenance and removal of work zone traffic control devices within the project limits in compliance with the permit requirements and conditions, the approved plans and specifications, the Virginia Work Area Protection Manual, and the Manual of Uniform Traffic Control Devices.
- 4) A person accredited by VDOT in Intermediate Work Zone Traffic Control must be on-site to provide supervision for adjustment to the approved layout or implementation of any standard Typical Traffic Control (TTC) layouts outlined in the Virginia Work Area Protection Manual.
- 5) All traffic control plans shall be prepared by a person accredited by VDOT in Advanced Work Zone Traffic Control.
- 6) Individuals responsible for implementation of work zone traffic control measures shall provide evidence of their accreditation upon request from VDOT personnel.
- 7) The permittee shall be exempt from the requirements of Virginia Department of Transportation (VDOT) Road and Bridge Specification, Special Provision 105.14 if the authorized activity does not involve the installation, maintenance and removal of work zone traffic control devices and is not within the roadway (as defined in 24VAC30-151) of a state maintained highway.
- 8) Non-compliance with the requirements outlined in VDOT Road and Bridge Specification, Special Provision 105.14 may result in a stop work order and / or permit revocation.
- 9) All activities that require the disruption (stoppage) of traffic shall utilize VDOT certified flaggers. Flag persons shall be provided in sufficient number and locations as necessary for control and protection of vehicular and pedestrian traffic in accordance with the Virginia Work Area Protection Manual. All flaggers must have their certification card in their possession when performing flagging operations within state maintained right-of-way. Any flag person found not in possession of his/her certification card shall be removed from the flagging site and the district administrator's designee will suspend all permitted activities.
- 10) Any VDOT certified flag person found to be performing their duties improperly shall have their certification revoked.
- 11) The permittee shall immediately correct any situation that may arise as a result of these activities that the district administrator's designee deems hazardous to the traveling public.
- 12) During authorized activities, the permittee shall furnish all necessary signs, flag persons and other devices to provide for the protection of traffic and workers in accordance with the Virginia Work Area Protection Manual or as directed by the district administrator's designee.
- 13) All signs shall be in accordance with the current edition of the Manual of Uniform Traffic Control Devices (MUTCD).
- 14) Traffic shall not be blocked or detoured without permission, documented in writing or electronic communication, being granted by the district administrator's designee.
- 15) All lane or shoulder closures on highways in the Northern Virginia construction district classified as arterial or collector routes must be authorized, documented in writing or by electronic communication by the VDOT Transportation Operations Center (NRO/TOC).
- 16) The permittee shall notify the following appropriate VDOT Transportation Operations Center (TOC) 30 minutes prior to the installation of a lane closure or shoulder closure on non-limited access primary routes and within 30 minutes of removing the lane or shoulder closure:
  - Eastern Region (757) 424-9920: All localities within the Hampton Roads construction district excluding Greenville County and Sussex County
  - Northern Virginia (703) 877-3401: All localities within the NOVA construction district including Spotsylvania County and Stafford County
  - Central Region (804) 796-4520: All localities within the Richmond construction district including Greenville County and Sussex County. All localities within the Fredericksburg district excluding Spotsylvania County and Stafford County

- SW Region (540) 375-0170: All localities within the Salem, Bristol, and Lynchburg construction districts
- NW Region (540) 332-9500: All localities within the Staunton and Culpeper construction districts

## VIRGINIA WORK ZONE TRAFFIC CONTROL TRAINING OPTIONS

The following three options are available to receive Work Zone Traffic Control (WZTC) training based on an individual's job duties and responsibilities as required by the FHWA Final Rule on Work Zone Safety and Mobility and the Virginia Department of Transportation:

**OPTION 1** – Have someone trained to become a qualified instructor in your company who can then instruct others, utilizing training material provided by VDOT. The following qualifications must be met in order to teach the VDOT Basic, Intermediate, or Advanced WZTC training courses:

- **Basic** – Be flagger certified either by VDOT or by the American Traffic Safety Services Association (ATSSA); possess two years of practical experience in Highway Design, Construction, Maintenance, or Traffic Operations; possess two years of documented experience in conducting training courses; and successfully complete the VDOT WZTC Intermediate or Advanced course or complete the ATSSA Virginia Intermediate/Traffic Control Supervisor (TCS) course.
- **Intermediate** - Be flagger certified either by VDOT or by ATSSA; possess two years of practical experience in Highway Design, Construction, Maintenance, or Traffic Operations; possess two years of documented experience in conducting training courses; complete and possess the ATSSA Virginia Intermediate/TCS certification.
- **Advanced** - Be flagger certified either by VDOT or by ATSSA; possess two years of practical experience in Highway Design, Construction, Maintenance, or Traffic Operations; possess two years of documented experience in conducting training courses; complete and possess the ATSSA Virginia Advanced Traffic Control Design Specialist (TCDS) certification or ATSSA Virginia Intermediate TCS certification.

To become an approved instructor, an application must be completed listing the above qualifications and sent to the chairman of VDOT's WZST committee at the following location:

[http://www.virginia.gov/business/resources/wztc/wztc\\_inst\\_app\\_form.pdf](http://www.virginia.gov/business/resources/wztc/wztc_inst_app_form.pdf)

Once a person has become an approved instructor, training material can be obtained from VDOT using the order form obtained from the following location (requires an approved instructor identification number):

[http://www.virginia.gov/business/resources/wztc/WZTC\\_order\\_form.pdf](http://www.virginia.gov/business/resources/wztc/WZTC_order_form.pdf)

**OPTION 2** – Obtain the services of an approved instructor from VDOT's Approved WZTC Instructor List to teach the course or courses you need for your employees.

The Approved WZTC Instructor's List can be obtained at the following location:

[http://www.virginia.gov/business/resources/wztc/Approved\\_WZTC\\_Instructors.pdf](http://www.virginia.gov/business/resources/wztc/Approved_WZTC_Instructors.pdf)

A list of Approved Providers of training can be obtained at the following location:

[http://www.virginia.gov/business/resources/wztc/wztc\\_training\\_sponsors.pdf](http://www.virginia.gov/business/resources/wztc/wztc_training_sponsors.pdf)

**OPTION 3** – Send personnel to classes conducted by approved sources such as ATSSA Virginia or the Virginia Local Technical Assistance Program (LTAP).

Courses by ATSSA Virginia can be found at the following location:

[http://atssa.com/cs/course\\_information/courses\\_by\\_state?state=56](http://atssa.com/cs/course_information/courses_by_state?state=56)

Courses by the Virginia LTAP can be found at the following location:

<http://ltap.cts.virginia.edu/2%20Page%20Calendar%20June%20-%20Sept%2009.pdf>

Basic WZTC courses by the Virginia Rural Water Association can be found at the following location:

<http://www.vrwa.org/> (See Training Schedule)

Training by the Virginia Transportation Construction Alliance (VTCA) can be found at the following location: <http://vtca.org/>

Visit the following site for additional information regarding Virginia's Work Zone Traffic Control training program:  
<http://www.virginia.gov/business/trafficeng-WZS.asp>

### **Environmental**

- 1) In accordance with the Virginia Department of Transportation (VDOT) Road and Bridge Specification 107.16 (a), all contractors performing regulated land disturbing activities within VDOT right-of-way must have at least one (1) employee that has successfully completed the VDOT Erosion & Sediment Control Contractor Certification training. This person shall be on site during all land disturbance activities and will be responsible for insuring compliance with all applicable local, state and federal erosion and sediment control regulations during land disturbance activities. This person must have their certification card with them while on the project site. The land use permit will be suspended if proof of certification cannot be provided. Regulated land disturbing activities are defined as those activities that disturb 2,500 square feet or greater in Tidewater, Virginia or 10,000 square feet or greater in all other areas of the State. The Department will require evidence of this certification with any Land Use Permit application that involves utility and/or commercial right of way improvement. Improper installation, maintenance and removal of erosion and sediment control devices may result in revocation of VDOT Erosion & Sediment Control Contractor Certification.
- 2) The permittee is responsible for pursuing and obtaining any and all environmental permits which may be required to pursue the proposed activity prior to any work beginning within state maintained right-of-way.
- 3) In the event hazardous materials or underground storage tanks are encountered within state maintained right-of-way during authorized activities, the permittee shall suspend all work immediately then notify the local district permit office and other responsible parties, i.e., the local fire department, emergency services, Department of Environmental Quality, etc. The permittee is responsible for coordination and completion of all required remediation necessary to complete the permitted activities within the state maintained right-of-way, and shall provide evidence of such compliance to the local district permit office prior to recommencement of permitted activities.
- 4) In the event cultural resources, archaeological, paleontological, and/or rare minerals are encountered within the right of way during authorized activities, the permittee shall suspend all work immediately then notify the local district permit office and the proper state authority charged with the responsibility for investigation and evaluation of such finds. The permittee will meet all necessary requirements for resolving any conflicts prior to continuing with the proposed activities within the state maintained right-of-way, and shall provide evidence of such compliance to the local district permit office.
- 5) Roadway drainage shall not be blocked or diverted. The shoulders, ditches, roadside, drainage facilities and pavement shall be kept in an operable condition satisfactory to the Department. Necessary precautions shall be taken by the locality to insure against siltation of adjacent properties, streams, etc., in accordance with VDOT's current standards or as prescribed by the Department's Environmental Manual and the district administrator's designee.

### **Inspection and Restoration**

- 1) Inspection and testing of all backfill and pavement sections shall be performed in accordance with all applicable sections of VDOT's Road and Bridge Specifications (current edition).
- 2) The absence of a VDOT inspector does not in any way relieve the permittee of their responsibility to perform the work in accordance with the approved plans, provisions of the attached permit, VDOT's Road and Bridge Standards (current edition) and VDOT's Road and Bridge Specifications (current edition).
- 3) The permittee shall be responsible for any settlement of all backfill or pavement restoration necessitated by authorized excavation activities for a period of two (2) years after the completion date of permit, and for the continuing maintenance of the facilities placed within the highway right-of-way. A one (1) year restoration warranty period may be considered, provided the permittee adheres to the following criteria:
  - The permittee retains the services of a professional engineer (or certified technician under the direction of the professional engineer) to observe the placement of all backfill and pavement restoration.
  - The professional engineer (or certified technician under the direction of the professional engineer) performs any required inspection and testing in accordance with all applicable sections of VDOT's Road and Bridge Specifications.

- The professional engineer submits all testing reports for review and approval, and provides written certification that all restoration procedures have been completed in accordance with all applicable sections of VDOT's Road and Bridge Specifications prior to completion of the work authorized by the permit.
- 4) Whenever existing pavement is permitted to be cut, not over one-half of the roadway width shall be disturbed at one time and the first open cut trench section shall be satisfactorily restored to allow for the passage of traffic prior to the second half of the roadway surface can be disturbed.
  - 5) All crossing of existing pavement shall be bored, pushed or jacked an appropriate distance from the edge-of-pavement so as not to impede the normal flow of traffic or damage the existing pavement section. Existing pavement shall not be cut unless approved by the district administrator's designee and then only if justifiable circumstances prevail or proof is shown that a thorough attempt has been made to push, bore or jack.
  - 6) Authorized daily trench excavation within pavement sections shall not exceed 500 feet in length.
  - 7) Pavement restoration shall be in accordance with the VDOT LUP-OC Pavement Open Cut Special Provisions. This document can also be found at: <http://www.virginiadot.org/business/bu-landUsePermits.asp>
  - 8) Where the pavement is disturbed or deemed weakened in its entirety or such portions as deemed desirable by the Department, the pavement shall be restored or replaced in a manner that is satisfactory to the district administrator's designee.

#### **Permit Revocation**

At the discretion of the district administrator's designee, the land use permit may be revoked and the lighting facilities removed from within or overhanging state maintained right of way should operation of the lighting facilities become detrimental to state maintained facilities or are deemed hazardous for vehicular and or pedestrian traffic.

#### **Permittee Notice**

The preceding provisions are intentionally condensed in format and should not be loosely interpreted by the permittee without consultation with the central office permit manager or the district administrator's designee and affirmation from the [Land Use Permit Regulations](#).



**LAND USE PERMIT  
LUP-OC**

**Open-Cut Pavement Restoration Requirements**

**Any of the following provisions that may apply, shall apply:**

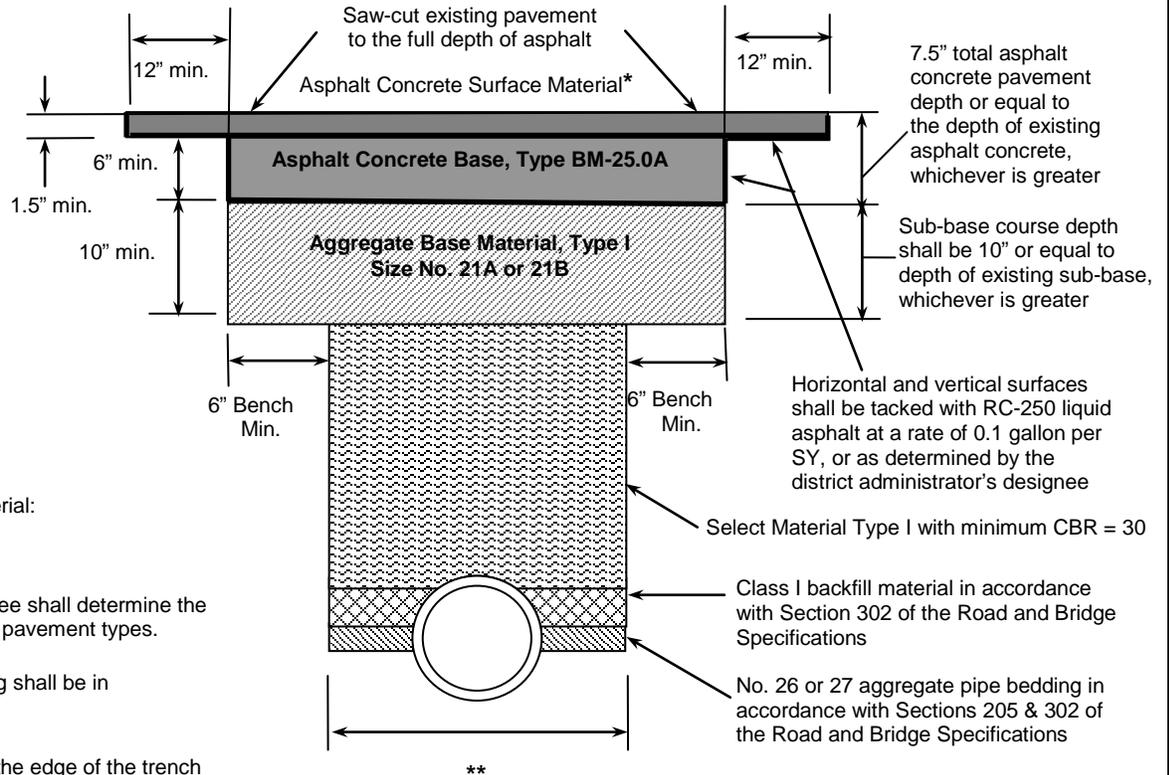
1. The permittee shall be responsible for the restoration of pavement on state maintained highways in accordance with all applicable sections of the VDOT Road and Bridge Specifications, VDOT Road and Bridge Standards and this document.
2. Whenever existing pavement is permitted to be cut, not over one-half of the roadway width shall be disturbed at one time and the first open cut trench section shall be satisfactorily restored to allow for the passage of traffic prior to the second half of the roadway surface can be disturbed.
3. All trench backfill material shall be Select Material Type I having a minimum CBR of 30 and free from any wood, decaying material, asphalt, concrete, ice, frost, large clods, stone or debris.
4. Trench backfill material shall be compacted to a minimum of 95% of the theoretical maximum density at optimum moisture content, as determine by VDOT testing procedures (VTM1), using mechanical tamping throughout the depth of the trench in 6-inch lifts to ensure that the adequate support is provided for the aggregate sub-base layer is adequately supported.
5. For roadways with a bituminous concrete asphalt pavement section the compacted trench backfill shall be capped with 10 inches (10") of Type I, Size 21-A or 21-B aggregate compacted to 100% of the theoretical maximum density at optimum moisture content covering the entire trench width and a minimum six inch (6") bench on each side of the excavated trench or as determined by the district administrator's designee.
6. A bituminous concrete asphalt base course (BM-25) having a minimum thickness of six inches (6"), or matching the existing base course thickness, shall be placed over the benched aggregate sub-base to the bottom elevation of the existing asphalt concrete surface course.
7. All sides of the excavated trench shall be saw-cut trimmed to neat straight lines and a tack coat of RC-250 liquid asphalt applied at a rate of 0.1 gallon per square yard (or as determined by the district administrator's designee) prior to placing the bituminous concrete asphalt base course (BM-25.0) and/or replacement of the bituminous concrete asphalt surface course (SM-9.5A or SM-9.5D).
8. The existing pavement surface course adjacent to the excavated trench shall be milled and repaved with bituminous concrete asphalt (SM-9.5A or SM-9.5D) having of a minimum thickness of 1-1/2 inches (1.5"). This operation shall cover the entire trench width and extend 12 inches (12") beyond the edge of the trench on longitudinal open cuts and 25 feet (25') beyond the trench centerline on perpendicular open cuts, or as determined by the district administrator's designee.
9. Open cuts in surface treated roadway sections with an aggregate base course shall be replaced with the same layer(s) as roadway sections with a bituminous concrete asphalt pavement structure except the sub-base layer (Type I, Size 21-A or 21-B) may be reduced to six inches (6") and the bituminous concrete asphalt base layer (BM-25.0) may be reduced to four inches (4") while maintaining the required six inch (6") bench on both sides of the excavated trench. The surface course restoration material and thickness shall match the existing surface.
10. Replacement of all bituminous concrete asphalt and surface treated courses shall be rolled with equipment having a manufacturer's rating of ten (10) tons until the aggregate is keyed into the bitumen. Where rolling is not possible, a mechanical tamper shall be utilized.
11. Full depth aggregate stone may be placed in the trench daily up to maximum length of 500 feet, at which time either temporary or permanent pavement restoration procedures must be implemented.

12. Should the application of the bituminous concrete asphalt surface course be delayed due to adverse weather conditions, the contractor shall provide and maintain a temporary pavement section that is acceptable to the district administrator's designee until such time as the appropriate permanent pavement restoration can be achieved.
13. The permittee shall be responsible for any settlement in the backfill or pavement for a period of two (2) years after the completion date of permit and for the continuing maintenance of the facilities placed within the highway right-of-way.
14. A one-year restoration warranty period may be considered, provided the permittee adheres to the following criteria:
  - The permittee retains the services of a professional engineer (or certified technician under the direction of the professional engineer) to observe the placement of all fill embankments, pavement, and storm sewer and utility trench backfill.
  - The professional engineer (or certified technician under the direction of the professional engineer) performs any required inspection and testing in accordance with all applicable sections of VDOT's Road and Bridge Specifications.
  - The professional engineer submits all testing reports for review and approval, and provides written certification that all restoration procedures have been completed in accordance with all applicable sections of VDOT's Road and Bridge Specifications prior to completion of the work authorized by the permit.
15. The district administrator's designee may request and review the backfill compaction test results and/or authorize an inspector to monitor the trench backfill and compaction operations.
16. The use of steel plates to provide a temporary riding surface will not be allowed between November 1 and April 1. The use of steel plates between April 2 and October 31 shall be in accordance with VDOT standards and specifications.
17. Traffic shall be maintained at all times in accordance with the Virginia Work Area Protection Manual and a VDOT approved Maintenance of Traffic (MOT) plan.
18. The permittee shall notify the district administrator's designee a minimum of 72 hours prior to initiating any pavement open cutting operations.
19. The trench to be backfilled shall be made as dry as practicable at the time of backfilling by pumping, bailing, draining, or other approved dewatering method.
20. All asphalt pavement restoration activities shall be in accordance with the Asphalt Pavement Restoration Detail for Open Cut Utility Installations contained herein.

**LAND USE PERMIT  
LUP-OC**

**Open-Cut Pavement Restoration Requirements**

**Asphalt Pavement Restoration Detail for Open Cut Utility Installations**



**NOTES:**

\* Asphalt Concrete Surface Material:  
SM-9.5A for ADT < 10,000  
SM-9.5D for ADT > 10,000

The district administrator's designee shall determine the restoration requirements for other pavement types.

\*\* Trench width and pipe bedding shall be in accordance with VDOT Std. PB-1

\*\*\* 12 inches minimum beyond the edge of the trench on longitudinal open cuts, or 25 feet minimum beyond the trench centerline on perpendicular open cuts, or as determined by the district administrator's designee.

**Date: August 27, 2014**



LAND USE PERMIT
Land Use Permit Application (LUP-A)

APPLICATION is hereby made for permit as shown on the accompanying plan or sketch and as described below. Said activity(s) will be done under and in accordance with the rules and regulations of the Commonwealth Transportation Board of Virginia, in so far as said rules are applicable thereto and any agreement between the parties herein before referred to.

Applicant: Driver's License or Tax ID No.
Owner Name
Address
City State Zip Code

Contact Name
E-mail Address
Telephone Number
Emergency Telephone Number
Fax Number

\*Agent: Driver's License or Tax ID No.
Agent Name
Address
City State Zip Code

Contact Name
E-mail Address
Telephone Number
Emergency Telephone Number
Fax Number

Permit Term Requested Fees Enclosed \$ Check Number Money Order
Estimated cost of work to be performed on VDOT Right of Way \$

Surety Information:

Surety Posted by: Owner Agent Surety County Resolution Waived

Bond Surety - Bonding Company Name
Irrevocable Letter of Credit - Bank Name
Surety paid by Check - Check Number
Amount of Surety \$ Obligation Amount \$

Request permission to perform the following activity(s):
as per attached plans.

Location: County Town City of Route No. Street Name
Between Route No. Street Name and Route No. Street Name
Latitude Longitude Tax Map Number Applicant Job No.

Applicant shall provide proof of registration as an operator with the appropriate notification center in accordance as defined in §2.2-1151.1 of the Code of Virginia & must provide a notarized affidavit, stating that the utility owner has notified the commercial and residential developer, owner of commercial or multifamily real estate, or local government entities with a property interest in any parcel of land located adjacent to the property over which the land use is being requested, that application for the permit has been made.

IF APPLICABLE, I AGREE TO PAY THE FULL SALARY AND EXPENSES OF A STATE ASSIGNED INSPECTOR IN CONJUNCTION WITH ACTIVITIES AUTHORIZED UNDER THE AUSPICES OF A VDOT LAND USE PERMIT.

I the undersigned hereby acknowledge that I am fully cognizant of all of the requirements associated with the issuance of a VDOT Land Use Permit.

Signature of Applicant: Title Date
Signature of Agent: Title Date

All applicable items on this form must be completed to avoid delay in processing the issuance of a VDOT Land Use Permit. Prepayment required with remittance payable to Virginia Department of Transportation.

VDOT USE ONLY

Receipt is hereby acknowledged for: CHECK No.: MONEY ORDER No.:
In the Amount of \$ PERMIT FEE \$ CASH SURETY \$
Authorized VDOT Signature: Date:

\*Agent mean: Applicant contractor's or a person or business authorized to act on another's behalf.

**LAND USE PERMIT  
LUP-LC  
Bank Irrevocable Letter of Credit**

*[Bank Letterhead]*

**LETTER OF CREDIT BANK AGREEMENT**

Date: \_\_\_\_\_  
Issuing Bank: \_\_\_\_\_  
Address: \_\_\_\_\_  
City: \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_  
Amount: \_\_\_\_\_  
Expiration Date: \_\_\_\_\_

APPLICANT NAME: \_\_\_\_\_  
Tax ID number or Driver's license Number: \_\_\_\_\_  
Telephone Number: \_\_\_\_\_  
Address: \_\_\_\_\_  
City: \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

**VIRGINIA DEPARTMENT OF TRANSPORTATION**

Address: \_\_\_\_\_  
City: \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

We hereby issue Irrevocable Letter of Credit number \_\_\_\_\_ in favor of the Virginia Department of Transportation (the Department) for the account of \_\_\_\_\_ in an amount not to exceed \_\_\_\_\_ U.S. Dollars (\$) available by sight draft on the above stated issuing bank accompanied by the documents specified below:

A certified statement signed by the Department's Permit Manager or their representative stating that \_\_\_\_\_ has not satisfactorily completed work pursuant to the permit issued to the permittee or his agent to perform the work as described on the face of the land use permit in the **County of** \_\_\_\_\_, Virginia.

A certified statement signed by the Department's Permit Manager or their representative stating that: **"This draw is for the explicit purpose of providing for completion or restoration of the right of way to the terms of the Land Use Permit Regulations and pursuant to the agreement of the permittee or their Agent to perform the work covered by permit to the satisfaction of the Department."** All drafts must bear the clause "Drawn under \_\_\_\_\_ Irrevocable Letter of Credit No. \_\_\_\_\_ dated \_\_\_\_\_, 20\_\_\_\_."

We hereby engage with drawers, endorsers and bona fide holders that all drafts drawn in compliance with the terms of this credit shall be duly honored upon presentation and delivery of this document. This Irrevocable Letter of Credit shall remain in full force and effect for a period of two (2) years from the date hereof and shall automatically renew itself from year to year for three (3) years, one (1) year periods thereafter unless and until the above issuing bank shall give ninety (90) days prior written notice to the department by CERTIFIED MAIL, RETURN RECEIPT REQUESTED, of its intent to terminate same at the expiration of said ninety-day period. During said ninety (90) days notice period, this Irrevocable Letter of Credit shall remain in full force and effect.

During the last thirty (30) days while this Irrevocable Letter of Credit is in force and effect after notice of termination has been given, the Department may draw up to the full amount of this Irrevocable Letter of Credit when accompanied by a document stating that \_\_\_\_\_ has failed to provide an acceptable substitute Irrevocable Letter of Credit or deposit in an

escrow account, and further stating that **"The draw will be held by the Department for the sole purpose of providing for the completion or restoration of the right of way for work covered by the land use permit issued to \_\_\_\_\_ until such work is completed or restored to the Department's satisfaction. This Irrevocable Letter of Credit shall be terminated upon the Department's Permit Manager or their appointed representative giving written release stating that the terms of the permit have been completed and accepted by the Department."**

Requests for the termination of this Irrevocable Letter of Credit should be addressed to the local Department office that issued the land use permit.

Except as otherwise expressly stated herein, this credit is subject to the Uniforms Customs & Practices for Documentary Credit (2007 Revision), International Chambers of Commerce Publication No. 600.

Attest: \_\_\_\_\_

\_\_\_\_\_  
(Seal)

\_\_\_\_\_  
Authorized Signature

\_\_\_\_\_  
Type or Print Name

\_\_\_\_\_  
Title



Land Use Permit Regulations
LUP-SB
Surety Bond

BE KNOWN THAT WE as Principal, and \_\_\_\_\_, a corporation duly incorporated under the Laws of the State of \_\_\_\_\_, as Surety, are held and firmly bound unto the Commonwealth of Virginia in the full and just sum of \_\_\_\_\_ U.S. Dollars (\$ \_\_\_\_\_), to be paid to the Commonwealth of Virginia to the payment whereof we hereby bind ourselves and our heirs, executors, administrators, successors and assigns, jointly and severally, firmly by these presents, sealed and dated this \_\_\_\_\_ day of \_\_\_\_\_ (month), 20\_\_\_\_\_ (year).

WHEREAS, The said Principal hereunder has been or will be granted permit(s) authorizing one or more of the following activities;(A) to move house property upon public highways of Virginia (B) to cut surface of the highways of Virginia, or to tunnel under such highways; (C) to install and/or erect and maintain telephone, electric power lines, water, sewer, gas or other utilities on, under or over such highways, bridges or tunnels;(D) to install an entrance or tie-in into a public roadway and/or grading upon the Right -of-way; or (E) for the following purposes: Explain below exact purpose(s) for which surety coverage is being obtained:

Work to be performed in the county, city or town of: \_\_\_\_\_

THEREFORE, The conditions of this obligation are such that if the said Principal shall in all respects comply with the terms and conditions of said permit(s), and fully meet and perform obligations thereunder in accordance with requirements for permits as set forth in the Land Use Permit Manual in effect at time of permit issuance, and shall satisfactorily complete the work permitted, and shall indemnify and save harmless the Commonwealth of Virginia against and from all loss, cost, expense damage or injury to highways and bridges and to persons and property lawfully on such highways, growing out of the granting of such permit(s) to said Principal, then this obligation be void, otherwise to be and remain in full force and virtue.

NOW, THEREFORE, It is expressly understood that this Bond may be canceled by the Surety at the expiration of sixty (60) days from the date which the Surety shall have lodged with the Commonwealth Transportation Commissioner or his designees written notice to so cancel. This provision, however, shall not operate to relieve, release or discharge the Surety from any liability already accrued, or which shall accrue, on permits issued before the expiration of the sixty-day period. Bonds securing performance on specified active permit(s) may be canceled only upon satisfactory completion of permit(s), as determined by the Department Engineer.

NOTE: Continuous Bond cannot be canceled unless facilities covered by the permit have been removed from the Right -of-way, or the principal has arranged for replacement surety protection. ALL permit work covered under section (C) above shall be covered by a bond at all times.

Said principal and surety, being properly authorized, have caused these presents to be executed and their seals affixed the day and year first above written.

Surety name \_\_\_\_\_
Bond number \_\_\_\_\_
Address \_\_\_\_\_
City \_\_\_\_\_ State \_\_\_\_\_ ZIP \_\_\_\_\_
Contact person \_\_\_\_\_
Telephone number \_\_\_\_\_
Attorney-in-Fact Name \_\_\_\_\_
Signature \_\_\_\_\_

Principal name \_\_\_\_\_
TAX ID # or DMV ID # \_\_\_\_\_
Address \_\_\_\_\_
City \_\_\_\_\_ State \_\_\_\_\_ ZIP \_\_\_\_\_
Contact person \_\_\_\_\_
Telephone number \_\_\_\_\_
Signature \_\_\_\_\_

**POWER OF ATTORNEY AUTHORIZATION TO BE ATTACHED**

**Acknowledgement of Principal**

**Attorney-In-Fact**

**(Seal)**

STATE OF \_\_\_\_\_ COUNTY / TOWN / CITY OF \_\_\_\_\_

I, the undersigned, a Notary Public in and for the County / Town / City aforesaid, in the State aforesaid, do certify that, \_\_\_\_\_ whose name as Principal is signed to the foregoing writing bearing date this \_\_\_\_\_ day of \_\_\_\_\_ (month), 20\_\_\_\_ (year), personally appeared before me and acknowledged the same.

Given under my hand this day of \_\_\_\_\_ (month), 20\_\_\_\_ (year)

My Commission expires: \_\_\_\_\_

\_\_\_\_\_  
Notary Public

**Affidavit and Acknowledgement of Surety**

STATE OF \_\_\_\_\_ COUNTY/TOWN/CITY OF \_\_\_\_\_

I, the undersigned, a Notary Public in and for the County/Town/City aforesaid, in the State aforesaid do certify that, . (Name of Attorney in Fact) personally appeared before me and made oath that he is . (Title) of the (Name of Surety), that he is duly authorized to execute the foregoing bond by virtue of a certain power of attorney of said company; that said power of attorney has not been revoked; that the said company has complied with all the requirements of law regulating the admission of such companies to transact business in the State of Virginia; that the said company holds the certificate of the Commissioner of Insurance authorizing it to do business in the State of Virginia; that it has a paid-up cash capital of not less than \$250,000; that the paid-up capital plus the surplus and undivided profits of said company is \$ ; that the penalty of the foregoing bond is not in excess of ten percentum of said sum; that the said company is not by said bond incurring in the aggregate, on behalf or on account of the principal names in said bond, a liability for an amount larger than one-tenth of its paid-up capital, plus its surplus and undivided profits; that the said company is solvent and fully able to meet promptly all its obligations, and the said (Attorney in fact name) thereupon, in the name and on behalf of the said company, acknowledged the foregoing writing as its act and deed.

Given under my hand this \_\_\_\_\_ day of \_\_\_\_\_ (month), 20\_\_\_\_ (year)

My Commission expires: \_\_\_\_\_

\_\_\_\_\_  
Notary Public

Original to be filed with the Virginia Department of Transportation  
Request for Land Use Permit Surety Bond Cancellation may be addressed to:  
Virginia Department of Transportation

\_\_\_\_\_  
\_\_\_\_\_



LAND USE PERMIT  
RESOLUTION

*[County, City or Town Letterhead]*

“RESOLUTION”

**WHEREAS**, it becomes necessary from time to time for the *[County, City or Town]* of *[County, City or Town Name]* to obtain land use permits from the Virginia Department of Transportation to install, construct, maintain and operate certain public works and public utilities projects along, across over and upon highway systems of the Commonwealth of Virginia; and,

**WHEREAS**, expense, damage or injury may be sustained by the Commonwealth of Virginia growing out of granting to the *[County, City or Town]* of *[County, City or Town Name]* by the Virginia Department of Transportation of said permits for the work aforesaid;

**NOW, THEREFORE, BE IT RESOLVED** by the *[County, City or Town]* *[Board of Supervisors, City or Town Council]* this *[Date]* day of *[Month]*, *[Year]*:

**Section 1:** That in accordance with the provisions of Section 24VAC30-151-720 of the Land Use Permit Regulations of the Virginia Department of Transportation, the *[County, City or Town]* of *[County, City or Town Name]* does hereby grant assurances to the Virginia Department of Transportation (VDOT) that it shall in all respects comply with all of the conditions of the permit or permits that have been, or will be, granted to the *[County, City or Town]* of *[County, City or Town Name]* and that said jurisdiction does hereby certify that it will carry liability insurance for personal injury and property damage that may arise from the work performed under permit and/or from the operation of the permitted activity as follows: up to one-million dollars (\$1,000,000) each occurrence to protect the Commonwealth Transportation Board members and the Virginia Department of Transportation’s agents or employees; seventy-five thousand dollars (\$75,000) each occurrence to protect the Commonwealth Transportation Board, the Virginia Department of transportation or the Commonwealth of Virginia in the event of suit.

**Section 2:** That the County Administrator, City or Town Mayor, or their designee, be, and hereby is authorized to execute on behalf of the *[County, City or Town]* of *[County, City or Town Name]* all land use permits and related documents of the Virginia Department of Transportation.

**Section 3:** That this resolution shall be a continuing resolution and shall not be revoked unless and until sixty (60) days written notice of any proposed revocation be submitted to the Virginia Department of Transportation.

**Section 4:** That the *[County, City or Town]* of *[County, City or Town Name]* shall, if requested by the Virginia Department of Transportation, provide a letter that commits to using the surety provided by its contractor or to have the contractor execute a dual obligation rider that adds the Virginia Department of Transportation as an additional obligee to the surety bond provided to the locality, with either of these options guaranteeing the work performed within state maintained right-of-way under the terms of the land use permit for that purpose.

**BE IT STILL FURTHER RESOLVED** that the County Administrator, City or Town Mayor, or their designee, be, and hereby is authorized and directed to procure insurance required by Section 1 herein.

*The foregoing Resolution was adopted by the [County Board of Supervisors, City or Town Council] at its regular meeting held on [Day, Month, Year] in [County, City or Town Name], Virginia.*

*[Authorized Signature]*  
*[Printed Name & Title]*  
*[County, City or Town Name]*

# Request for Taxpayer Identification Number and Certification



Section 1 - Taxpayer Identification

- Social Security Number (SSN)**
- Employer Identification Number (EIN)**

Please select the appropriate Taxpayer Identification Number (EIN or SSN) type and enter your 9 digit ID number . The EIN or SSN provided must match the name given on the "Legal Name" line to avoid backup withholding. If you do not have a Tax ID number, please reference "Specific Instructions - Section 1." If the account is in more than one name, provide the name of the individual who is recognized with the IRS as the responsible party.

**Unique Entity Identifier (UEI) (see instructions)**

**Legal Name:**

**Business Name:**

**Entity Type**

**Entity Classification**

**Exemptions (see instructions)**

- |  |  |
|--|--|
| <input type="checkbox"/> Individual          | <input type="checkbox"/> Corporation               |
| <input type="checkbox"/> Sole Proprietorship | <input type="checkbox"/> S-Corporation             |
| <input type="checkbox"/> Partnership         | <input type="checkbox"/> C-Corporation             |
| <input type="checkbox"/> Trust               | <input type="checkbox"/> Disregarded Entity        |
| <input type="checkbox"/> Estate              | <input type="checkbox"/> Limited Liability Company |
| <input type="checkbox"/> Government          | <input type="checkbox"/> Partnership               |
| <input type="checkbox"/> Non-Profit          | <input type="checkbox"/> Corporation               |

- |  |  |
|--|--|
| <input type="checkbox"/> Professional Services | <input type="checkbox"/> Medical Services        |
| <input type="checkbox"/> Political Subdivision | <input type="checkbox"/> Legal Services          |
| <input type="checkbox"/> Real Estate Agent     | <input type="checkbox"/> Joint Venture           |
| <input type="checkbox"/> VA Local Government   | <input type="checkbox"/> Tax Exempt Organization |
| <input type="checkbox"/> Federal Government    | <input type="checkbox"/> OTH Government          |
| <input type="checkbox"/> VA State Agency       | <input type="checkbox"/> Other                   |

Exempt payee code (if any):  
 \_\_\_\_\_  
 (from backup withholding)

Exemption from FATCA reporting code (if any):  
 \_\_\_\_\_

**Contact Information**

Legal Address:

Name:

Email Address:

City: State : Zip Code:

Business Phone:

Remittance Address:

Fax Number:

Mobile Phone:

City: State : Zip Code:

Alternate Phone:

Section 2 - 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 later in general instructions), 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 instructions titled Certification

**Printed Name:**

**Authorized U.S. Signature:**

**Date:**

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 Section 2 Certification 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.

**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.

## 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

### Section 1 - Taxpayer Identification

**Check the appropriate Tax Identification Number (TIN) type. Enter your EIN/SSN in the space provided.** If you are a resident alien and you do not have and /or 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.

Number (SSN)" box and enter the SSN of the sole proprietor.

e. If you are a Single-Member LLC that is disregarded as an entity, check the "Social Security Number (SSN)" box and enter the member's SSN.

**Note:** If an LLC has one owner, the LLC's default tax status is "disregarded entity". If an LLC has two owners, the LLC's default tax status is "partnership". If an LLC has elected to be taxed as a corporation, it must file IRS Form 2553 (S Corporation) or IRS Form 8832 (C Corporation).

Vendors are requested to enter their **Unique Entity Identifier Number (UEI)**, if applicable. See number requirement below.

**Unique Entity Identifier (UEI) number requirement.** The United States Office of Management and Budget (OMB) requires all vendors that receive federal grant funds have their UEI number recorded with and subsequently reported to the granting agency. If your entity is registered in SAM.gov today, your Unique Entity ID (UEI) has already been assigned and is viewable in SAM.gov

**Legal Name.** If you are an individual, you must generally enter the name shown on your social security card. 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 enter in Part I of the form. If you are using a name other than that which is listed on a Social Security Card, please enter the legal entity name **as filed with the IRS**. In general, enter the name shown on your income tax return. Do not enter a Disregarded Entity Name on this line.

**Business Name.** Business, Disregarded Entity, trade, or DBA ("doing business as") name.

**Entity Type.** Select the appropriate entity type.

**Sole proprietor.** Enter your **individual** name as shown on your social security card on the "Legal Name" line. You may enter your business, trade, or "doing business as (DBA)" name on the "Business Name" line.

**Partnership.** A partnership is an entity reflecting a relationship existing between two or more persons who join to carry on a trade or business. Enter the partnerships entity's name on the "Legal Name" line. This name should match the name shown on the legal document creating the entity. You may enter your business, trade, or "doing business as (DBA) name on the "Business Name" line.

**Trust.** A legal entity that acts as fiduciary, agent or trustee on behalf of a person or business entity for the purpose of administration, management and the eventual transfer of assets to a beneficial party. Enter the name of the legal entity on the "Legal Name" line.

**Estate.** A separate legal entity created under state law solely to transfer property from one party to another. The entity is separated by law from both the grantor and the beneficiaries. Enter the name of the legal entity on the "Legal Name" line.

**Corporation.** A company recognized by law as a single body with its own powers and liabilities, separate from those of the individual members. Enter the entity's name on the "Legal Name" line and any trade or "doing business as (DBA)" name on the "Business Name" line.

**S-Corporation.** A corporation that is taxed like a partnership: a corporation in which five or fewer people own at least half the stock. Enter the entity's name on the "Legal Name" line and any trade or "doing business as (DBA)" name on the "Business Name" line.

**C-Corporation.** A business that is taxed as a separate entity: a business taxed under Subchapter C of the Internal Revenue Code and legally distinct from its owners. Enter the entity's name on the "Legal Name" line and any trade or "doing

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, agencies, 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 fund
- 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 payments
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 <sup>1</sup>	Generally, exempt payees 1 through 5 <sup>2</sup>
Payments made in settlement of payment card or third party network transactions	Exempt payees 1 through 4

<sup>1</sup>See Form 1099-MISC, Miscellaneous Income, and its instructions.

<sup>2</sup>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

**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. Get **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 get Forms W-7 and SS-4 from the IRS by calling 1-800-TAX-FORM (1-800-829-3676) or from the IRS's Internet Web Site [www.irs.gov](http://www.irs.gov).

If you do not have a TIN, 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:** *Writing "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.*

**Enter the TIN which coincides with the 'Legal Name' provided on the form.**

- If you are an individual, check the "Social Security Number (SSN)" box and enter the SSN.
- If you are a Grantor or Revocable Trust, check the "Social Security Number (SSN)" box and enter the SSN of the Grantor.
- If you are a Resident Alien, check the "Social Security Number (SSN)" box and enter your SSN or your ITIN (IRS Individual Taxpayer Identification Number).
- If you are a Sole Proprietor, check the "Social Security

business as (DBA)" name on the "Business Name" line.

**Limited liability company (LLC).** An LLC with at least two members is classified as a partnership for federal income tax purposes unless it files Form 8832 and affirmatively elects to be treated as a corporation. Enter the name of the partnership or corporation. An LLC with only one member is treated as an entity disregarded as separate from its owner for income tax purposes (but as a separate entity for purposes of employment tax and certain excise taxes), unless it files Form 8832 and affirmatively elects to be treated as a corporation. If you are a single-member LLC (including a foreign LLC with a domestic owner) that is **disregarded** as an entity separate from its owner, **enter the owner's name on the "Legal Name" line.** **Caution:** *A disregarded domestic entity that has a foreign owner must use the appropriate Form W-8.*

**Contact Information.** Enter your contact information.

Enter your **Legal Address.** Enter your **Remittance Address.** A **Remittance Address** is the location in which you or your entity receives business payments.

Enter your **Business Phone Number.** Enter your **Mobile Phone Number**, if applicable. Enter your **Fax Number**, if applicable. Enter your **Email Address.**

For clarification on any of the fields, see [www.irs.gov](http://www.irs.gov).

### 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.

**Exempt payee code.** Generally, individuals (including sole proprietors) are not exempt from backup withholding.

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 in 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

### Section 2 - Certification

To establish to the paying agent that your TIN is correct, you are not subject to backup withholding, or you are a U.S. person, or resident alien, sign the certification on Form W-9.

For a joint account, only the person whose TIN is shown in Part I should sign (when required).