



**City of Rialto**

**PROPOSAL - RFP No. 19-014**

**Community Development Block Grant and  
Neighborhood Stabilization Program  
Consultant**

**August 23, 2018**

**Corporate Headquarters  
10722 Arrow Route, Suite 822  
Rancho Cucamonga, CA 91730**

Telephone ■ (909) 476 - 6006  
Fax ■ (909) 476 - 6086

August 22, 2018



City of Rialto  
Purchasing Division  
Attn.: William Jernigan, CMP  
249 S. Willow Avenue  
Rialto, CA 92376

**Subject: Proposal for Community Development Block Grant Consulting Services**

Dear Mr. Jernigan:

LDM Associates, Inc. (LDM) is pleased to submit a proposal to provide Community Development Block Grant (CDBG) and Neighborhood Stabilization Program (NSP) consulting services to the City of Rialto. LDM has been providing high-quality services to municipal agencies, the U.S. Department of Housing and Urban Development (HUD), and private clients for over 30 years.

LDM's emphasis and capabilities are in the management of HUD Community Planning and Development (CPD) Program grants such as Community Development Block Grant (CDBG), HOME Investment Partnerships (HOME) and Emergency Solutions Grant (ESG) funds. LDM also manages one-time HUD entitlement grants such as the Neighborhood Stabilization Programs (NSP 1, 2 & 3) and Community Development Block Grant Disaster Recovery (CDBG-DR) grants. In addition, the firm provides monitoring services for capita improvement programs such as labor compliance (both State and Federal).

Our consulting team is comprised of highly qualified professional staff with expertise in all aspects of HUD funded grants administration and implementation. Provided herewith, is the information requested in your Request for Proposals (RFP).

You may contact me at the following address, telephone number or e-mail should you have any questions regarding this proposal:

**LDM Associates, Inc.**  
Rudy E. Munoz, Senior Vice President  
10722 Arrow Route, Suite 822  
Rancho Cucamonga, CA 91730  
(909) 476-6006  
[rmunoz@mdg-ldm.com](mailto:rmunoz@mdg-ldm.com)

If you have any questions regarding this proposal, please do not hesitate to call me at your convenience.

Respectfully Submitted,



Rudy E. Muñoz  
Senior Vice President

Enclosure: Proposal

**CITY OF RIALTO**

**PROPOSAL  
COMMUNITY DEVELOPMENT BLOCK GRANT AND  
NEIGHBORHOOD STABILIZATION PROGRAM CONSULTANT  
RFP NO. 19-014**

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## **Section I – Description of Firm, Qualifications, and Experience**

## **SECTION I. DESCRIPTION OF FIRM, QUALIFICATIONS, AND EXPERIENCE**

LDM Associates, Inc. (LDM) was established in 1986 and has undergone steady growth since its inception. LDM is a corporation registered in the State of California. In response to our clients' needs, LDM and its affiliate MDG Associates, Inc. (MDG) provide a wide variety of Community Development consulting services including, but not limited to Grants Management; Project Management; Construction Management; Architectural Design; Urban Planning; and Labor Compliance Monitoring.

LDM Associates, Inc. is comprised of individuals with a wide variety of expertise including the services specifically requested by the City. Currently, LDM has thirty-two (32) staff members. Sixteen (16) of the staff members are knowledgeable and experienced in the administration of CDBG, HOME, ESG, and the CalHome Programs in addition to projects funded under these Programs. LDM provides administrative and management services to cities that are seeking a consultant that can act as an extension of their staff and look after the best interest of the City.

LDM is a Veteran-Owned Small Business (VOSB); while its affiliate MDG is a Los Angeles County registered Minority Business Enterprise (MBE) and a State of California registered Small Business (SB).

### **Grants Management:**

LDM provides administration and implementation services for the Community Development Block Grant (CDBG), HOME Investment Partnerships (HOME), Emergency Solutions Grant (ESG), Community Development Block Grant-Disaster Recovery (CDBG-DR), CalHome, and Neighborhood Stabilization Programs (NSP). In addition, staff members implement activities funded under the aforementioned programs such as Residential Rehabilitation and Labor Compliance Monitoring and Enforcement.

The firm maintains an excellent relationship with the local HUD office as well as at the headquarters level (Washington D.C.). Our staff currently provides technical assistance (TA) to grantees throughout the country on behalf of HUD Headquarters through the OneCPD and Community Compass Programs. The technical assistance is provided to states, counties, cities and other HUD funded grantees in conjunction with the CDBG, HOME, and NSP programs as well as the IDIS and DRGR HUD reporting systems.

Our staff has been tasked by HUD Headquarters to provide national training on their behalf to recipients of HUD funds (grantees) as well as HUD Staff. The training has been in the areas of "Basically CDBG," Assessment of Fair Housing (AFH), Disaster Recovery Grant Reporting (DRGR), eCon Planning Suite, CPD Maps, and the Integrated Disbursement Information System (IDIS). Our staff has been tasked with providing assistance to grantees through the HUD Resource Exchange Ask a Question (AAQ) program in the areas of CDBG, HOME, and DRGR.

LDM and its affiliate are currently under direct contract with 37 cities and four (4) counties throughout the western United States with funds from HUD totaling approximately 85 million dollars. The services are primarily for the day-to-day implementation of their CPD Programs. For others, LDM provides services on

specific tasks such as IDIS input, project monitoring, federal labor standards (Davis-Bacon) compliance, monitoring CDBG/HOME and ESG grants, preparation of Consolidated Plan/Action Plan, and the preparation of Consolidated Annual Performance and Evaluation Report (CAPER).

Our staff is knowledgeable in a number of computer programs including all of the Microsoft Office software, Microsoft Project, Adobe programs and AutoCAD. Our staff is fully trained in the use of all required Federal, State and local online reporting databases, including but not limited to the Integrated Disbursement and Information System (IDIS), Disaster Recovery Grant Reporting System (DRGR), Homeless Management Information System (HMIS), Recovery Act Management and Performance System (RAMPS), Performance and Accountability for Grants in Energy System (PAGE), HEROS (Environmental Review Module), and FederalReporting.gov.

**Neighborhood Stabilizations Program:**

LDM along with its affiliate are currently working with a number of Cities throughout the country under direct contract and under HUD's Technical Assistance program for the implementation and closeout of their Neighborhood Stabilization Program grants. LDM staff is currently working with HUD on conducting training and workshops on both closeout and NSP post closeout to inform recipient of the funds as to its obligations post closeout of the grant. This includes reporting, monitoring affordability, and the reuse of program income funds.

**Labor Compliance (Davis-Bacon Act):**

We are currently under contract to provide Labor Compliance services to 13 cities throughout Southern California. This includes both federal Davis-Bacon and State prevailing wage compliance. Our typical scope of work includes review of bid documents for compliance with Federal labor standards and requirements including Davis-Bacon and Related Acts, Section 3, and DOL regulations; attend pre-construction meeting and present information on Davis-Bacon and Section 3 requirements; review submitted bid documents for compliance; establish and maintain contractor and subcontractor labor files; conduct employee field interviews and document posting compliance; reconcile weekly certified payroll reports and supporting documentation; monitor contractors for Section 3 accomplishments; compile and submit labor standards and related reports to CDC; schedule labor compliance file reviews prior to release of retention funds; and address and resolve any underpayment or deficiency issues.

**Section 3:**

Our staff is experienced in the implementation of the Section 3 employment, contracting and training requirements. Currently, LDM, along with its affiliate LDM, monitors labor compliance activities on 15 projects with a combined construction value of over \$13 million. Of these projects, ten (10) are Section 3-covered projects with contracts in excess of \$100,000.



## **SECTION II. METHODOLOGY/ PROJECT APPROACH AND SCOPE OF WORK**

### **Methodology**

LDM works as a team to administer the State and Federal programs. The team approach allows us to assign individuals with expertise in certain areas to complete those tasks and maximizing cost efficiency. The work program for the City's CDBG program has been designed to meet the City's needs and based on the scope of work delineated in the City's RFP.

### **Project Approach**

LDM proposes to provide service on-site and at its home office as required by the City. We propose to have regularly scheduled hours at the City for the administration of the CDBG and NSP Program as directed by the City. Additional hours will be provided at our office as necessary to complete the tasks as noted in the scope of work. We anticipate becoming an extension of City staff and would provide scheduling that meets the needs of the City. In addition, we would make ourselves available to attend City Council meetings, Planning Commission meetings or other meetings as requested. We will make ourselves available during non-scheduled hours should the need arise by providing City staff with our cell phone numbers.

LDM will meet on a regular basis with the City's representative to discuss the status of the CDBG program and of the individual projects.

### **Conflict of Interest**

LDM Associates, Inc. is not aware of any possible conflict of interest that might limit the projects on which our firm could work.

### **Statement**

This proposal as submitted is valid for a period of 90 days from the date of submittal.

### **Scope of Work**

In the performance of the administration of the three programs, LDM will provide staffing and other resources required to perform the following:

#### **1. CDBG Program Implementation and Administration**

Provide staffing and other resources as required to perform the following for all approved City CDBG projects:

- a. Provide day-to-day administration and implementation of the City's CDBG funded Programs. Work with City staff to determine project eligibility along with monitoring of programs to assure compliance with all Federal, State, and Local reporting requirements.

- b. Prepare reports, as required by HUD, including, but not limited to, a One-Year Action Plan and Annual Funding application, annual performance report (CAPER), Quarterly Cash Transaction Reports, etc., Section 3 Reports, and other reports required by HUD.
- c. Setup and maintenance of IDIS records, including preparation of requested reports. Prepare draw down requests for reimbursement of expended funds at a minimum of a quarterly basis or more often as directed by the Finance Director.
- d. Coordinate with HUD field office staff and other City representatives on CDBG related issues as needed and provide assistance for all program monitoring and audit preparation.
- e. Work with City staff to prepare funding plans for CDBG funded activities.
- f. Prepare and maintain files and contracts for CDBG funded activities.
- g. Coordinate with City staff in the identification, management, and completion of all CDBG funded projects, including preparation and review of federal funding requirements as part of construction bid packages, requests for proposals, monitoring reports, public notices, etc.
- h. Review and process all CDBG funded Capital Improvement project invoices.
- i. Monitor all Capital Improvement projects during construction. Monitoring includes the implementation of Davis-Bacon labor compliance and Section 3 compliance.
- j. Review completed projects for all necessary compliance issues.
- k. Preparation of necessary Environmental Review forms and documents for CDBG projects.
- l. Provide regularly scheduled office hours at City Hall, on days and hours as determined by City staff. Additionally, remain available on-site, as needed, during HUD monitoring visits and external City audits.
- m. Any such other activities as required to properly administer the program.
- n. Attend City Council meetings as required.

## **2. Administration of Sub-Recipient Contracts**

- a. Prepare of NOFA on an annual basis for social services funding. Work with City staff to prepare a funding plan for the recommended social service providers.
- b. Prepare files and contracts for each of the funded social service and fair housing administration providers.
- c. Process all sub-recipients invoices.
- d. Monitor all sub-recipients on an annual basis or sooner as necessary.

## **3. Schedule of Cost**

- a. Provide a schedule of hourly billing rates for all staff and provide a list of reimbursable items.
- b. Provide schedule of cost by service areas (e.g., preparation of CAPER, administration of program, etc.)

#### **4. NSP Program Implementation and Administration**

Provide staffing and other resources as required to perform the following for all approved City NSP program:

- a. Provide day-to-day administration and implementation of the City's CDBG funded Programs. Work with City staff to determine project eligibility along with monitoring of programs to assure compliance with all Federal, State, and Local reporting requirements.
- b. Prepare quarterly reports, as required by HUD, including annual closeout reports as required; Quarterly Cash Transactions Reports, etc., Section 3 Reports, and other reports required by HUD.
- c. Setup and maintenance of DRGR records, including preparation of requested reports. Prepare draw down requests for reimbursement of expended funds at a minimum of a quarterly basis or more often as directed by the Finance Director.
- d. Coordinate with HUD field office staff and other City representatives on NSP related issues as needed and provide assistance for all program monitoring and audit preparation.
- e. Work with City staff to prepare funding plans for NSP funded activities.
- f. Prepare and maintain files and contracts for NSP funded activities.
- g. Coordinate with City staff in the identification, management, and completion of all NSP funded projects, including preparation and review of federal funding requirements as part of requests for proposals, monitoring reports, public notices, etc.
- h. Monitor all project during construction. Monitoring includes the implementation of Davis-Bacon labor compliance and Section 3 compliance as applicable.
- i. Review completed projects for all necessary compliance issues.
- j. Preparation of necessary Environmental Review forms and documents for CDBG projects.
- k. Provide regularly scheduled office hours at City Hall, on days and hours as terminated by City staff. Additionally, remain available on-site, as needed, during HUD monitoring visits and external City audits.
- l. Any such other activities as required to properly administer the program.
- m. Attend City Council meetings as required.





### SECTION III. ASSIGNED PERSONNEL

LDM implements a team approach for the management of HUD grant programs. This method allows us to control costs to the City by having lower level staff complete tasks that do not require a senior level staff member to complete. This team approach also allows us to assign individuals with expertise in specific areas to complete those tasks. The work program for each City or County varies depending on the needs.

The members of our consulting group proposed to provide the services include Rudy E. Muñoz, Senior Vice-President; Clint Whited, Vice President; Juan Rios, Manager; Frank Perez, Associate. Additional staff may be assigned on an as-needed basis. Mr. Muñoz is the authorized signatory for contracts on behalf of LDM Associates and would oversee the assigned consulting team for the contract. Rudy Muñoz and Frank Perez will be responsible for the day-to-day aspects of the delivery of consulting services to the City. The other staff members listed above will assist based on the task.

#### **Rudy Muñoz, Senior Vice-President**

Mr. Rudy Muñoz is the Senior-Vice President of LDM Associates, Inc. and has been providing community development consulting services to municipal agencies with LDM since 1991. With more than 33 years of experience in the community development field, Mr. Munoz assists municipalities with all aspects of HUD CPD Program administration and implementation. These include, but are not limited to Community Development Block Grant (CDBG), HOME Investment Partnership Act (HOME), Neighborhood Stabilization Program (NSP) and Community Development Block Grant – Disaster Recovery (CDBG-DR) management.

Mr. Munoz focuses on the strategic development of implementation tools to facilitate the management of programs; developing tools and providing training for HUD CPD Programs; and implementing the day-to-day functions of the programs. These include all facets of the programs from the initial NOFA process to the programmatic and financial closeout of projects and grants. He assists grantees in developing HUD mandated Policies and Procedures for all CPD Programs and activities funded under these programs. His work includes the development of over 45 Consolidated Plans, 200 Action Plans and CAPER's, and 20 Impediments to Fair Housing Choice (AI).

Mr. Muñoz is a Certified HOME Specialist and is a national technical assistance (TA) provider through HUD's OneCPD Initiative. Through the OneCPD Initiative, Mr. Muñoz provides Technical Assistance (TA) and training to grantees throughout the country in the following programs: Community Development Block Grant (CDBG), HOME Investment Partnerships (HOME), Community Development Block Grant – Disaster Recovery (CDBG-DR) and Neighborhood Stabilization Programs (NSP). He also provides training and TA in the following HUD reporting systems: Integrated Disbursement and Information Systems (IDIS), and the Disaster Recovery Grant Reporting System (DRGR).

He was recently selected by the RAND Corporation, under the direction of the U.S. Congress, to be a part of a team working with Puerto Rico in reviewing and commenting on the development of the islands Action Plan for the use of Community Development Block Grant-Disaster Recovery (CDBG-DR) funds totaling \$1.5 Billion.

Before joining LDM, Mr. Muñoz worked for a number of municipalities in Southern California in the Community Development field. Mr. Munoz received a Bachelor of Architecture from California Polytechnic University in Pomona.

**Clint Whited, Vice-President of Grants Management**

Mr. Clint Whited joined LDM Associates, Inc. in 2006 and currently serves as Vice-President of Grants Management. With more than 17 years of experience in the planning and implementation of federal grants including those offered by the U.S. Department of Housing and Urban Development – Office of Community Planning and Development, Mr. Whited assists municipalities with all aspects of Community Development Block Grant (CDBG), HOME Investment Partnership (HOME) and Emergency Solutions Grant (ESG) management.

Mr. Whited focuses on strategic community investment in affordable housing, development of infrastructure and coordinating the supportive services necessary to achieve local goals and to affirmatively further fair housing choice. His work in these areas includes 25 Consolidated Plans, 15 Analysis of Impediments to Fair Housing Choice, two (2) Assessments of Fair Housing (AFH) and numerous program policy and procedure documents to facilitate the implementation of the housing and community development projects resulting from these plans. He is currently responsible for the management and implementation of CPD programs for a number of cities in Southern California and recently working with the City of Houston and Harris County on their Disaster Recovery efforts utilizing HUD funds. Mr. Whited is a Certified HOME Specialist (Regulations) and is a national technical assistance provider through HUD's OneCPD technical assistance initiative.

Prior to joining LDM, Mr. Whited was a Contract Compliance Specialist for the Los Angeles County Community Development Commission – the second largest Urban County CDBG program in the nation. His responsibilities included contract development, monitoring the implementation of CDBG funded activities implemented by participating cities and non-profit organizations. His work with the Urban County included the development of labor standards policies and procedures covering the Davis-Bacon Act, Minority and Women's Business Enterprise and Section 3 of the Housing and Community Development Act.

Mr. Whited received a Bachelor of Science in Public Policy and Management from the University of Southern California's School of Policy, Planning and Development, with an emphasis on organizational management and public sector accounting.

**Frank Perez, Associate**

Mr. Frank Perez joined LDM Associates, Inc. in 2011 and currently serves as an Associate on the Grants Management team. During the last seven (7) years, Mr. Perez has focused on the day-to-day management of CPD grants. The CPD grants include, but are not limited to, CDBG and labor compliance services at both the federal and state level.

Mr. Perez focuses on the day-to-day aspects of CPD program administration and compliance. This includes the development of Consolidated Plans, Annual Action Plans, and Consolidated Annual Performance and Evaluation Reports (CAPERs). Mr. Perez works with grantees in the data management of the Integrated

Disbursement and Information System (IDIS) to include initial activity setup and funding; inputting accomplishments; assisting in the set-up of draws; reporting program income receipts; establishing and managing “Local Accounts” if required, and closing out grants. He provides support to grantees in the areas of Davis-Bacon and Related Acts; Section 3; subrecipient oversight and monitoring; and all other aspects of program administration, implementation, and compliance.

Mr. Perez’ primary emphasis is on the implementation aspect of the grants. Mr. Perez works hand-in-hand with all departments involved in the implementation of the grants. His duties typically include, but not limited to, setting up budgets based on the adopted Annual Action Plans; reviewing invoices for compliance with applicable requirements (e.g., procurement, agreements, Davis-Bacon compliance, etc.); monitoring subrecipients and City or County Departments to assure compliant documents is present in project files; completing an annual reconciliation of accounts, including accounting for any carryover or unexpended funds at activity close-out; assisting the City or County in the preparation of the SF-424 and during the Single Audit in providing information to the auditor.

Mr. Perez received a Bachelor of Science in Economic and Administrative Studies from the University of California, Riverside.

**Juan C. Rios, Manager**

Juan C. Rios joined LDM in 1993 and has been implementing project management services on behalf of the company. His duties include the management and implementation of housing programs funded with State and Federal funds such as Community Development Block Grant (CDBG), HOME, NSP, and CalHome, funds. His responsibilities include conducting eligibility review, maintaining program files; reviewing bid documents for compliance with federal requirements and attending pre-bid and pre-construction meetings to ensure federal and state wage provisions and requirements are provided to contractors. Mr. Rios is bilingual/bi-literate in English and Spanish and is a Certified Building Inspector and a Certified California Notary Public.

Mr. Rios received a Bachelor of Science Architecture from the Universidad ITESO, Guadalajara, Jalisco, Mexico. He has also obtained his AutoCAD Certification from Mt. San Antonio College, Walnut, CA; Construction Estimating Certification, Mt. San Antonio College, Walnut, CA.; Lead Renovator, Lead Abatement Worker Certification; and California Residential Building Inspector Certification.

The resumes of the staff members are included in the Resume of Key Personnel section of this document.



## SECTION IV. REFERENCES

The following list represents a portion of our current client list for which we provide similar services.

### **City of Corona – Cynthia Lara, Administrative Services Manager**

Services Provided: CDBG Program Administration and HOME Technical Assistance including all aspects of the CDBG Program as well as assistance with affordable housing projects and Davis-Bacon Compliance Monitoring.

Date of Contract: 2010 to Present

Phone Number: (951) 739-4963; email address: [Cynthia.Lara@ci.corona.ca.us](mailto:Cynthia.Lara@ci.corona.ca.us)

### **City of Fontana – David Edgar, Deputy City Manager**

Services Provided: CDBG/HOME/CDBG-R/NSP Program TA; Analysis of Impediments to Fair Housing (AI); Consolidated Plan/Action Plan/CAPER preparation; Davis-Bacon/Section 3 Compliance; Policies and Procedures for FTHB and Housing Rehabilitation Programs

Date of Contract: 2009 to Present

Contact Person: Phone Number: (909) 350-6739; email address: [dedgar@fontana.org](mailto:dedgar@fontana.org)

### **City of Hawthorne – Mari Guerrero, CDBG/HOME Coordinator**

Services Provided: CDBG/HOME Program Administration and Technical Assistance; CDBG and HOME funded Housing Rehabilitation Program Implementation; RDA funded Commercial Rehabilitation Program Implementation; Analysis of Impediments to Fair Housing (AI); Consolidated Plan/Action Plan/CAPER preparation.

Date of Contract: 2002 to 2010 and 2014 to Present

Phone Number: (310) 349-2976; email address: [mguerrero@cityofhawthorne.org](mailto:mguerrero@cityofhawthorne.org)

### **City of Hesperia – Rod Yahnke, Economic Development Manager**

Services Provided: CDBG Program Administration and Technical Assistance; CDBG funded Housing Rehabilitation Program Implementation; Davis-Bacon and Section 3 Compliance; Consolidated Plan/Action Plan/CAPER preparation. Analysis of Impediments to Fair Housing (AI) preparation. NSP Program Technical Assistance.

Date of Contract: 2003 to 2008 and 2013 to Present

Phone Number: (760) 970-1907; email address: [ryahnke@cityofhesperia.us](mailto:ryahnke@cityofhesperia.us)

### **City of Irvine - Mr. Steve Holtz, Manager of Neighborhood Services**

Services Provided: CDBG/HOME/CDBG-R/HPRP Program Administration and Technical Assistance; Redevelopment Consultation; CDBG funded Housing Rehabilitation Program Implementation; Analysis of Impediments to Fair Housing (AI); Five-Year Consolidated Plan/Action Plan/CAPER preparation; Davis-Bacon and Section 3 Compliance.

Date of Contract: 2001 to Present

Phone Number: (949) 724-6612; email address: [sholtz@ci.irvine.ca.us](mailto:sholtz@ci.irvine.ca.us)

**City of Newport Beach - James Campbell, Deputy Director, Community Development Department**

Services Provided: CDBG Program Technical Assistance; Davis-Bacon and Section 3 Compliance; Analysis of Impediments; Consolidated Plan/Action Plan/CAPER preparation; affordable housing monitoring.

Date of Contract: 2000 to Present

Phone Number: (949) 644-3210; email address: [jcampbell@newportbeachca.gov](mailto:jcampbell@newportbeachca.gov)

**City of Palmdale - Mike Miller, Director of Neighborhood Services**

Services Provided: CDBG/HOME/CDBG-R/NSP Program Administration and Technical Assistance; Redevelopment Consultation; Analysis of Impediments to Fair Housing (AI); Consolidated Plan/Action Plan/CAPER preparation; 5 Year Implementation Plan (Redevelopment); Davis-Bacon and Section 3 Compliance; affordable housing monitoring.

Date of Contract: 2000 to Present

Phone Number: (661) 267-5126; email address: [MikeM@cityofpalmdale.org](mailto:MikeM@cityofpalmdale.org)

**City of Paramount – Karina Lam Liu, Finance Director**

Services Provided: CDBG/CDBG-R/NSP/HOME Program Administration; Redevelopment Consultation; CDBG and HOME funded Housing Rehabilitation and Commercial Rehabilitation Program Implementation; Homebuyer Assistance Program; Analysis of Impediments to Fair Housing (AI); Consolidated Plan/Action Plan/CAPER preparation; 5 Year Implementation Plan (Redevelopment); Davis-Bacon Compliance; and affordable housing monitoring.

Dates of Contract: 2003 to Present

Phone Number: (562) 220-2210; email address: [Klam@ParamountCity.com](mailto:Klam@ParamountCity.com)

**City of Temecula – Lynn Lehner, Senior Management Analyst**

Services Provided: CDBG Program Administration; Assessment of Fair Housing (AFH); Consolidated Plan/Action Plan/CAPER preparation.

Dates of Contract: 2015 to Present

Phone Number: (951) 506-5172; email address: [lynn.lehner@cityoftemecula.org](mailto:lynn.lehner@cityoftemecula.org)

**City of Walnut - Mr. Tom Weiner, Community Development Director**

Services Provided: CDBG Program Administration (Urban County with LACDC); public service program technical assistance; Davis-Bacon and Section 3 Compliance.

Date of Contract: 2010 to Present

Phone Number (909) 595-7543; email address: [tweiner@ci.walnut.ca.us](mailto:tweiner@ci.walnut.ca.us)



## SECTION V. BUDGET AND SCHEDULE OF HOURLY BILLING RATES

### Budget Proposal

LDM proposes to perform the Scope of Services on an hourly basis, based on the billing rates listed on the following rate schedule.

#### SCHEDULE OF HOURLY BILLING RATES

Rates effective as of July 1, 2018

Staff Person	Hourly Rate
President/Senior Vice President	\$115.00/Hr.
Vice President	\$105.00/Hr.
Manager	\$100.00/Hr.
Senior Associate	\$90.00/Hr.
Associate	\$80.00/Hr.
Senior Project Assistant	\$70.00/Hr.
Project Assistant	\$60.00/Hr.
Secretary	\$45.00/Hr.

Note: If LDM staff is requested by the City to attend a meeting not considered a part of this proposal or on a day in which a consultant is not scheduled to be on site, the City shall be billed for the time it takes to drive to and from the City and its corporate office.

#### REIMBURSABLE ITEMS

Project Supplies	At Cost plus 10% surcharge (when applicable)
Prints/Reproductions	At Cost plus 10% surcharge (when applicable)
Postage and Delivery	At Cost plus 10% surcharge (when applicable)





## Rudy E. Muñoz

### Senior Vice-President

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#### PROFESSIONAL EXPERIENCE:

##### **LDM Associates, Inc. – Rancho Cucamonga, CA**

###### **President: 1991 - Present**

Senior Vice-President of LDM Associates, Inc., a community development consulting firm that provides services to municipal agencies. Focus on assisting municipal agencies with all aspects of the administration and implementation of HUD funded CPD Programs. These include, but are not limited to the Community Development Block Grant (CDBG), HOME Investment Partnership Act (HOME), Neighborhood Stabilization Program (NSP) and Community Development Block Grant – Disaster Recovery (CDBG-DR) programs.

Works hand-in-hand with municipalities on the development of implementation strategies and tools that facilitate the management of their CPD programs; provides training for the HUD CPD Programs; if requested provides day-to-day implementation functions of the programs. This includes the development of Consolidated Plans and Action Plans for various programs through programmatic and financial closeout of projects and grants. Assists grantees in developing HUD mandated Policies and Procedures for the management and oversight of various CPD Programs as well as implementation of individual activities such as Housing Rehabilitation, Commercial Rehabilitation, and Homebuyer Programs.

Works as a subcontractor to several national Technical Assistance (TA) providers through HUD's Community Compass initiatives. Through the initiative, provides TA and staff capacity building to municipalities throughout the U.S. in the CDBG, HOME, NSP (1, 2, and 3) and CDBG-DR. Provides in class training and TA in two of HUDs reporting systems; the Integrated Disbursement and Information Systems (IDIS), and the Disaster Recovery Grant Reporting System (DRGR). Assists HUD Headquarters as a beta tester for the updates to the Disaster Recovery Grant Reporting system.

Provides training and TA in federal cross-cutting elements including Financial Management Systems (Uniform Administrative Systems), Davis-Bacon and Related Acts (DBRA), and Assessment of Fair Housing (AFH). Has provided many of the aforementioned training in Spanish for the Commonwealth of Puerto Rico and its municipalities.

##### **City of Huntington Park – Huntington Park, CA**

###### **Ass. Director of Comm. Development/Redevelopment: 1986 – 1991**

Assisted the Director of Community Development in the administration of the department. Directly responsible for the day-to-day administration and management of municipal staff on the CDBG and HOME programs, current and advanced planning functions and code enforcement activities. Acted as Secretary to the City's Planning Commission.

##### **City of Montclair – Montclair, CA**

###### **Associate Planner (started as Assist. Planner): 1985 – 1986**

Assisted in the day-to-day planning functions including, but not limited to, California Environmental Quality Act (CEQA) review, Design Review, Subdivisions, Annexations, and Development proposals. Responsible for reviewing and processing Zone Changes, Variances, Conditional Use Permits, and other entitlements.

**Booth-Good Architects: Walnut, CA**

**Project Assistant 1982-1985**

Under the direction of the Project Architect, assisted in the design development, and preparation of design development and construction drawings for a variety of building types including single-family residential, multi-family residential and commercial developments.

**EDUCATION:**

**Bachelor of Architecture (5-Year Degree)**

California State Polytechnic University, Pomona

**AFFILIATIONS/ REGISTRATIONS:**

ICBO - International Conference of Building Officials

NAHRO- National Association of Housing and Redevelopment Officials

AIA - Prior Associate member of the American Institute of Architects

Licensed California General Contractor – California License No.681042

ICBO – Earthquake Retrofit of Wood Frame Homes Certification

Certified HOME Program Regulations, HUD (Technical Assistance Provider)

**PROFESSIONAL EXPERIENCE:**

**LDM Associates, Inc. – Rancho Cucamonga, CA**  
**Vice-President: 2006 - Present**

Responsible for the preparation of Five-Year Consolidated Plans, Assessment of Fair Housing (AFH), Analysis of Impediments to Fair Housing Choice (AI), Annual Action Plans and Consolidated Annual Performance and Evaluation Reports in connection with U.S. Department of Housing and Urban Development (HUD) programs including but not limited to the Community Development Block Grant (CDBG), HOME Investment Partnerships (HOME), Neighborhood Stabilization Program (NSP) and Emergency Solutions Grant (ESG).

Serves as the lead consultant with assigned clients and is responsible to coordinate the work of assigned consultants to ensure work flow efficiency and quality. Provides technical assistance to clients including cities, counties, and housing developers to enhance client capacity to administer federal and state grant programs. Areas of specialization include compliance monitoring (prevailing wage/labor standards, affordable housing, grant programs, subrecipients), audit preparation, CDBG and HOME technical assistance, policy and procedure development and the implementation of housing programs including all phases of acquisition, rehabilitation and/or development, resale or rental.

As a HOME Program Certified Specialist, provides technical assistance to HUD grantees through the HUD OneCPD Technical Assistance program on all phases of program planning, grants management, program design, implementation, monitoring and reporting. Provides technical assistance to grantees as a reviewer for HUDs CDBG and HOME program Ask a Question (AAQ) teams.

**L.A. County Community Development Commission, Monterey Park, CA**  
**Contract Compliance Officer / Program Management: 2001-2006**

Developed and implemented comprehensive online construction contract compliance guidelines for Davis-Bacon and Section 3. Provided training and technical assistance to subrecipient agencies on contract and labor compliance. Monitored and provided contract compliance oversight to 63 contracts worth approximately \$49.3 million. Developed and reviewed interagency agreements, RFPs and bid documents. Prepared comprehensive procurement guidelines for external agencies. Participated in Commission-wide strategic planning process for internal policy and procedure development.

**EDUCATION:**

**Bachelor of Science – Public Policy and Management**  
University of Southern California, Los Angeles

**AFFILIATIONS/ REGISTRATIONS:**

Certified HOME Program Regulations, HUD (Technical Assistance Provider)

**PROFESSIONAL EXPERIENCE:**

**LDM Associates, Inc. – Manager**

Responsible for the administration and project management of capital improvement projects, residential rehabilitation and commercial rehabilitation programs funded with State and Federal funds such as Community Development Block Grant (CDBG) and HOME/CalHome funds. Responsibilities include working with applicants for participation in rehabilitation programs to assure compliance with program. Under the rehabilitation programs, responsibilities include conducting rehabilitation inspections (initial and progress), maintaining applicant files current, preparing bid packages, reviewing bids, preparing contractor agreements, processing progress and final payments, and processing/recording the Notice of Completion.

**UDI Development Co., Inc. – Project Manager**

Responsible for the management of tract home and multi-family developments including the development of design and construction drawings for. Prepared renderings of new homes and graphics for presentation to clients. Responsibilities included project management and verifying field conditions prior to design and ongoing site visits during construction to determine compliance with approved plans.

**Construction Offices of Jesus Rea, Guadalajara, Mexico**

Supervised and inspected various types of projects during construction, including residential and commercial, assuring completion of construction was done in accordance with approved plans.

**Arte y Espacio Architectural Office, Guadalajara, México**

Prepared architectural designs for residential and commercial developments including the preparation of presentation drawings. Coordinated projects with clients and engineers.

**EDUCATION:**

**Bachelor of Science - Architecture**

Universidad ITESO, Guadalajara, Jalisco, Mexico

**AutoCAD Certification**

Mt. San Antonio College, Walnut, CA

**Construction Estimating Certification**

Mt. San Antonio College, Walnut, CA

**TECHNICAL SKILLS:**

Computer Skills: Knowledge of Windows Operating system, AutoCAD, Corel Draw, Adobe PhotoShop, Microsoft Office (Word, Excel, Power Point, and Outlook)  
Fluent in Spanish

**AFFILIATIONS/REGISTRATIONS:**

International Code Council (ICC) – California Residential Building Inspector  
Environmental Protection Agency (EPA) - Renovator Certification  
Housing Quality Standards (HQS) Certification

**PROFESSIONAL EXPERIENCE:**

**LDM Associates, Inc. – Rancho Cucamonga, CA**

**Associate: 2011 - Present**

Provides Community Development Block Grant (CDBG) consulting services to U.S. Department of Housing and Urban Development (HUD) grantees. Assists clients in the design and implementation of NOFA processes, development of Annual Action Plans, preparation of environmental reviews, preparation of written agreements, review of performance reports, approval of payment requests, Integrated Disbursement and Information System (IDIS) data entry and management, and preparation of the Consolidated Annual Performance and Evaluation Report. Areas of specialization include subrecipient management, program monitoring and nonprofit capacity building.

Responsible for Davis-Bacon and Related Acts (DBRA) prevailing wage compliance and monitoring, including bid document preparation, HUD-11 Employee Field Interviews, review of certified payroll reports, identification and resolution of labor standards violations, MBE/WBE and Section 3 compliance and reporting. Assists in the monitoring of CDBG funded projects for compliance with HUD regulations. Conducts subrecipient programmatic and financial monitoring of CDBG funded projects to determine compliance with HUD regulations. Also, responsible for reviewing applications for participation in rehabilitation programs to verify compliance with CDBG program requirements.

**Accurate Background, Customer Service Manager**

Managed customer service call center for pre-employment background check organization. Ensured all aspects of a client's background check met federal reporting guidelines, contained accurate information, and ensured all technical questions were addressed regarding a client's background check. Ensured all productivity accomplishments were recorded monthly, quarterly, and yearly. Specialized in the implementation of I-9 (E-Verify) program platform for the organization's customer service center, ensuring that all clients had a digital platform to enter and view requests, ask questions through a chat session, and provide technical assistance about their accounts. Account manager for customer service requests for the organization's largest client, Starbucks.

**Target Corporation, Executive Team Leader**

Plan, organize, and supervise sales-floor, logistics, and guest services teams in various store locations throughout Orange County. Implemented best practices, monitored team productivity, report generation and statistical review, performance management to ensure efficiency and productivity levels were meeting company standards.

**Relevant Student Course Work**

Econometrics, Labor Economics and Business Finance, Business Accounting, Financial Investment, Business Decisions, Economic Development, and Money and Banking.

Computer Skills: Microsoft Office (Word, Excel, Outlook, and Power Point, Adobe)

Bilingual: English/Spanish

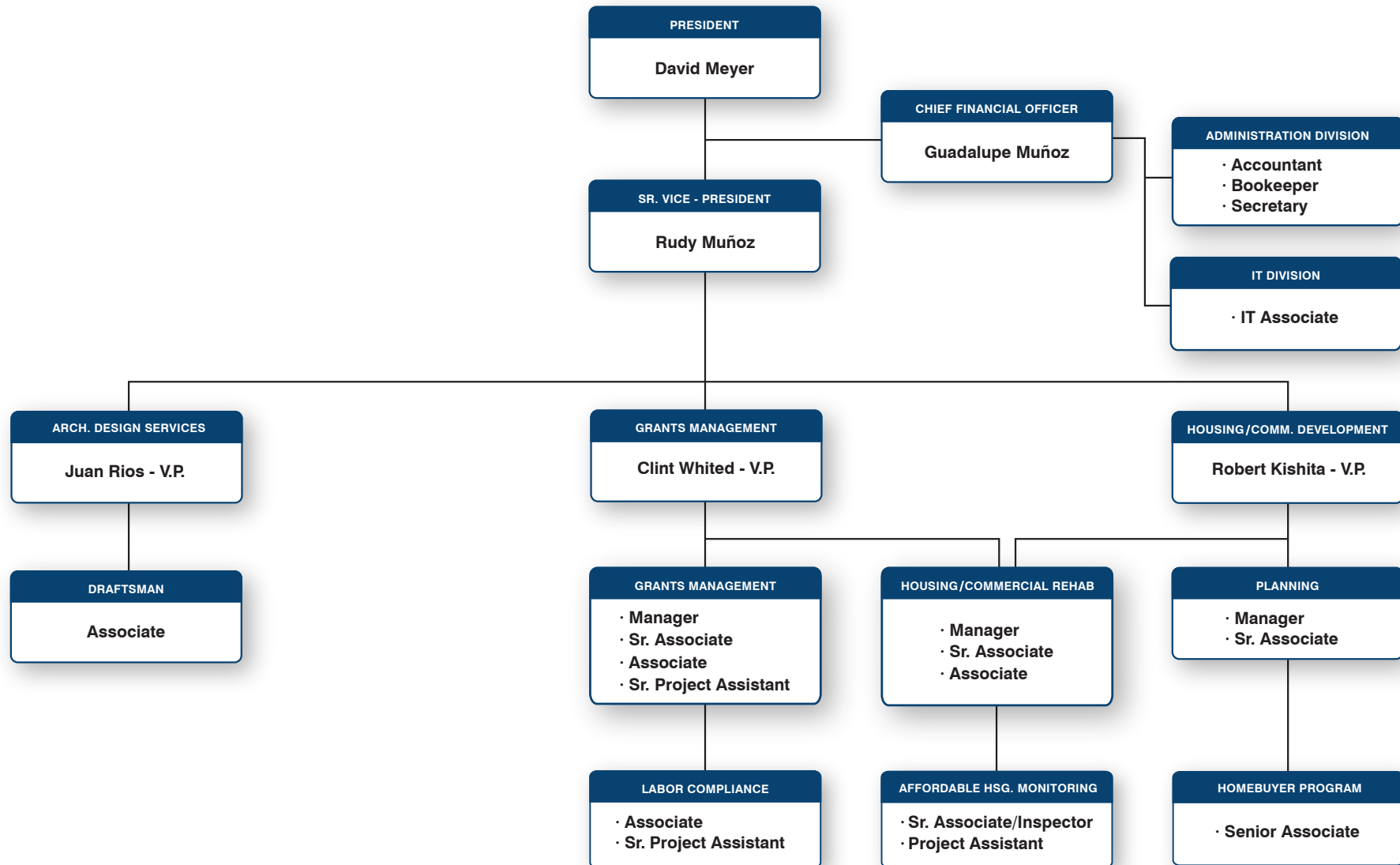
**EDUCATION:**

**Bachelor in Business Economics & Administrative Studies**

University of California, Riverside

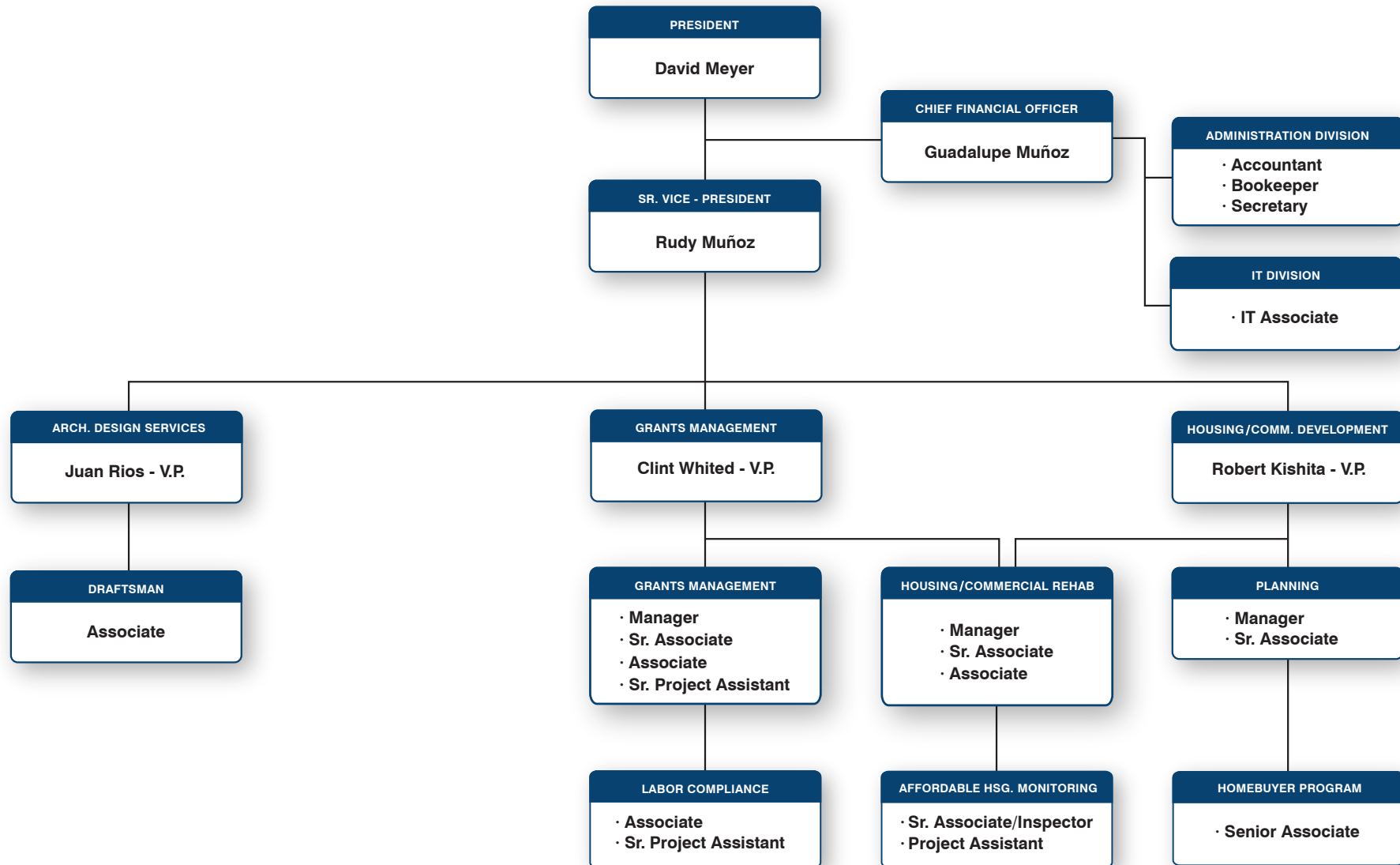


## LDM ASSOCIATES, INC. • ORGANIZATION CHART





## LDM ASSOCIATES, INC. • ORGANIZATION CHART





CITY OF RIALTO  
REQUEST FOR PROPOSAL #19-014  
DEBARMENT AND SUSPENSION

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CERTIFICATION REGARDING DEBARMENT AND SUSPENSION:

By signing and submitting any proposal, Consultant is providing the certification set out below.

Certification Regarding Debarment, Suspension, and Other Responsibility Matters-Primary Covered Transactions

1. Consultant certifies to the best of its knowledge and belief, that its principals:
  - a. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
  - b. Have not within a three-year period preceding any grant agreement been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of record, making false statements, or receiving stolen property;
  - c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or Local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
  - d. Have not within a three-year period preceding any application/grant agreement had one or more public transactions (Federal, State, or local) terminated for cause or default.
2. Should any of the above certifications provide inaccurate or change during the term of any agreement awarded in response to this RFP, Consultant shall notify the City immediately in writing, with sufficient back up information, as appropriate or as may be requested by the City's Contract Officer.

### **Small Business Concerns Information**

The Proposer shall furnish the following information. Additional sheets may be attached, if necessary.

- (1) Name: LDM Associates, Inc.
- (2) Address: 10722 Arrow Route, Suite 822, Rancho Cucamonga, CA 91730
- (3) Phone No.: (909) 476-6006 Fax No.: (909) 476-6086
- (4) E-Mail: rmunoz@mdg-ldm.com
- (5) Type of Firm: (Check all that apply)
- \_\_\_\_\_ Individual \_\_\_\_\_ Partnership X Corporation
- \_\_\_\_\_ Minority Business Enterprise (MBE) \_\_\_\_\_ Women Business Enterprise (WBE)
- \_\_\_\_\_ Small Disadvantaged Business (SDB) X Veteran Owned Business
- \_\_\_\_\_ Disabled Veteran Owned Business \_\_\_\_\_ Other
- (6) Business License: X Yes \_\_\_\_\_ No License Number: 039122
- (7) Tax Identification Number: 01-0573106
- (8) Contractors License: State: License No. : N/A Classification(s) \_\_\_\_\_
- (9) Names and Titles of all members of the firm:
- |                           |                               |
|---------------------------|-------------------------------|
| <u>David D. Meyer</u>     | <u>President</u>              |
| <u>Rudy E. Munoz</u>      | <u>Senior Vice President</u>  |
| <u>Guadalupe R. Munoz</u> | <u>Secretary &amp; C.F.O.</u> |
- (10) Number of years as a contractor in <sup>Grants Admin.</sup> ~~construction~~ work of the type: 32
- (11) Three (3) projects of this type recently completed:
- Type of project: HUD Grants Administration
- Contract Amount: \$120,031 Date Completed: Ongoing
- Owner: City of Hesperia / Rod Yankee Phone: (760) 947-1907
- Type of project: HUD Grants Administration
- Contract Amount: \$190,000 Date Completed: Ongoing
- Owner: City of Hawthorne / Mari Guerrero Phone: (310) 349-2976
- Type of project: HUD Grants Administration
- Contract Amount: \$223,000 Date Completed: Ongoing
- Owner: City of Irvine / Steve Holtz Phone: (949) 724-6612
- (12) Person who inspected the site of the proposed work for your firm:
- Name: Rudy Munoz Date of Inspection: Ongoing

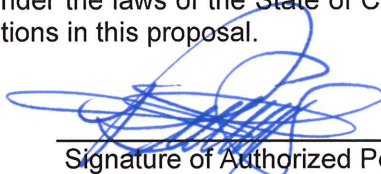
CITY OF RIALTO  
REQUEST FOR PROPOSAL #19-014  
PROPOSER SIGNATURE DECLARATION

The undersigned hereby offers and agrees to furnish the goods and services in compliance with all the service level requirements, instructions, specifications, and any amendments contained in this RFP document and any written exceptions in the offer accepted by the City.

This proposal is genuine, and not sham or collusive, nor made in the interest or on behalf of any person not herein named; the Proposer has not directly or indirectly induced or solicited any other Proposer to put in a sham proposal, or any other person, firm or corporation to refrain from submitting a proposal; and the Proposer has not in any manner sought by collusion to secure for themselves an advantage over any other Proposer.

Each proposal must be signed on behalf of the Proposer by an officer authorized to bind the Proposer to the proposal. I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct and I agree to the terms and conditions in this proposal.

LDM Associates, Inc.  
\_\_\_\_\_  
Company Name

  
\_\_\_\_\_  
Signature of Authorized Person

10722 Arrow Route, Suite 822  
\_\_\_\_\_  
Address

Rudy E. Munoz  
\_\_\_\_\_  
Printed Name

Rancho Cucamonga, CA 91730  
\_\_\_\_\_  
City State Zip Code

Senior Vice President  
\_\_\_\_\_  
Title

211698  
\_\_\_\_\_  
City of Rialto License Number

8/22/18  
\_\_\_\_\_  
Date

The Proposer hereby acknowledges receipt of and agrees this submittal is based on the RFP and the following addenda. Failure to indicate receipt of addenda may result in the Proposer being rejected as non-responsive.

ADDENDUM # \_\_\_\_\_ DATED \_\_\_\_\_ ADDENDUM # \_\_\_\_\_ DATED \_\_\_\_\_

ADDENDUM # \_\_\_\_\_ DATED \_\_\_\_\_ ADDENDUM # \_\_\_\_\_ DATED \_\_\_\_\_  
(If additional addenda are issued, attach a complete listing of these addenda when submitting this PROPOSAL.)

No Addendums were received. Attached is a screen shot of planet bids/Procurement.

No PROPOSAL

In order to help us improve our internal processes and become a better customer, if you are not submitting a PROPOSAL, please state the reason(s) why and return this page to the Purchasing Manager.

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



PlanetBids Vendor Portal

1 Aug 2018

Bid Information

Documents

Attachments

Q&A

Prospective Bidders

Bid Results

Awards

Attachments

Click to view details and to Acknowledge an Attachment

#	Posted	Title (s)	Description	Status	File Names
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Email Messages

Click to view email details

Set	Subject(s)	File Names
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Print

Close

CITY OF RIALTO  
REQUEST FOR PROPOSAL #19-014  
STATEMENT OF REFERENCES

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List and describe fully the last four contracts performed by your firm which demonstrate your ability to complete the work included with the scope of the specifications. Attach additional pages if required. The City reserves the right to contact each of the references listed for additional information regarding your firm's qualifications.

**Reference No. 1**

Customer Name: City of Hesperia  
Contact Individual: Rod Yankee, Economic Dev. Manager Phone No: (760) 947-1907  
Address: 9700 Seventh Avenue, Hesperia, CA 92345  
Contract Amount: \$120,031 Year: FY 2018-2019  
Description of work done: CDBG Admin, NSP T.A., Labor Compliance Services / Con Plan & AI

**Reference No. 2**

Customer Name: City of Hawthorne  
Contact Individual: Mari Guerrero, CDBG/HOME Coordinator Phone No: (310) 349-2976  
Address: 4455 126th Street, Hawthorne, CA 90250  
Contract Amount: \$190,000 Year: FY 2018-2019  
Description of work done: CDBG/HOME Admin., FTHB Program, Labor Compliance Services

**Reference No. 3**

Customer Name: City of Fontana  
Contact Individual: David Edgar, Deputy City Manager Phone No: (909) 350-6739  
Address: 8353 Sierra Avenue, Fontana, CA 92335  
Contract Amount: \$100,000 Year: FY 2018-2019  
Description of work done: CDBG T.A. & Labor Compliance Services/Con Plan & AI Development.

**Reference No. 4**

Customer Name: City of Irvine  
Contact Individual: Steve Holtz, Manager of Neighborhood Phone No: (949) 724-6612  
Address: 1 Civic Center Plaza, Irvine, CA 92606  
Contract Amount: \$223,000 Year: FY 2018-2019  
Description of work done: CDBG/HOME Admin., HRP Admin, Labor Compliance / Con Plan & AP

**Please list all City of Rialto projects completed with in the last five (5) years.**

Project Name: CDBG Admin., NSP Admin, Davis-Bacon Compliance  
Contact Individual: Perry Brents Phone No: (909) 820-8039  
Project Location: City  
Contract Amount: \_\_\_\_\_ Year: Ongoing since 2001  
Description of work done: Administration of HUD funded programs

CITY OF RIALTO  
REQUEST FOR PROPOSAL #19-014  
PROPOSERS BACKGROUND INFORMATION

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Proposers Information

Proposer's Contact Name: Rudy E. Munoz

Contact Title: Senior Vice President

Mailing Address: P.O. Box 368  
Rancho Cucamonga, CA 91729-0368

Location of Business  
(if different from mailing address): 10722 Arrow Route, Suite 822  
Rancho Cucamonga, CA 91730

Telephone Number: (909) 476-6006

Pager Number: (951) 203-2626

24 Hour Tel. Number: (909) 476-6086

Fax Number: rmunoz@mdg-ldm.com

E-Mail Address: N/A

Remittance Address:  
(if different from mailing address): 32

Number of Years in Business: None

Applicable State of California License #(s): None

Expiration Date(s): 040003738

Proposer's Dunn and Bradstreet  
'DUNNS: NUMBER: 040003738



CITY OF RIALTO  
REQUEST FOR PROPOSAL #19-014  
PROPOSER'S DECLARATION

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Proposal Date: 08/23, 2018

To the Honorable Mayor and City Council From:

LDM Associates, Inc.

Contractor

The undersigned, as Proposer, declares that he has carefully examined the locations of the proposed work described, examined the Agreement and read the Instructions to Proposers and is familiar with all proposal requirements, and hereby proposes and agrees, if the proposal is accepted, to complete the said maintenance in accordance with the Agreement Documents, as defined in the General Provisions, in the time stated herein, for the prices set forth in the following schedule:

Said amount to include and cover all taxes, the furnishing of all materials, the performing of all the labor requisite and the providing of all necessary machinery, tools, apparatus and other means of construction; also, the performance and completion of all the work in the manner set forth, described and shown in the Specifications or on the drawings for the work.

The Proposer to whom the contract (s) is awarded agrees to enter into an agreement with the City, and to commence work within fifteen (15) working days from the date of execution thereof, and to diligently prosecute the work to completion as set forth in the agreement after the execution of the agreement and the date of issuance of a Notice to Proceed.

The City Offices are closed every Friday and the following Holidays: New Year's Day, Martin Luther King Day, President's Day, Cesar Chavez Day, Memorial Day, Independence Day, Labor Day, Veteran's Day, Thanksgiving Day, Christmas Eve, and Christmas.

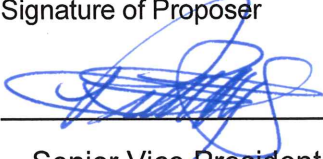
All proposals are to be computed on the basis of the given Estimated Type of Work, as indicated in this proposal. In case of a discrepancy between words and figures, the words shall prevail. In case of a discrepancy between unit prices and the extension thereof, the unit price shall prevail and proposals will be computed as indicated above and compared on the basis of correct totals.

The estimated quantities of work indicated in this proposal are approximate only, being given solely as a basis for comparison of proposals. The City does not expressly nor by implication agree that the actual amount of work will correspond therewith, but reserves the right to increase or decrease the amount of any item or portions of the works as may be deemed expedient by the Contract Administrator.

It is understood by the Proposer that the City of Rialto has the right to reject this proposal or to award an agreement to the undersigned at the prices stipulated. If the proposal is rejected, then the enclosed check or proposal bond shall be returned to the undersigned within thirty-days (30) days from the date thereof. If the proposal is accepted and the work is awarded and the terms supplied by the Purchasing Manager within fifteen (15) days such further time as may be granted by the City Council, then said check shall be cashed or said bond declared forfeit and an amount equal to the difference between the lowest Proposer who will execute an agreement shall be paid into the treasury of the City of Rialto as liquidated damages for the failure of the undersigned to comply with the terms of this proposal.

Licensed in accordance with an act providing for the registration of Contractor's License No. N/A, classification, **XXXX**. In executing this proposal the Proposer certified being properly licensed to do the work.

Signature of Proposer



Senior Vice President

If an individual, so state. If a firm or co-partnership, state the firm name and give the names of all individual co-partners composing the firm, i.e., president, secretary, treasurer and manager, thereof.

Dated: 8/22/18, 2018

10722 Arrow Route, Suite 822, Rancho Cucamonga, CA 91730 Business Address

(909) 476-6006 Telephone Number

CITY OF RIALTO  
REQUEST FOR PROPOSAL #19-014  
STATEMENT OF PROPOSER'S QUALIFICATIONS


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STATE OF CALIFORNIA, COUNTY OF San Bernardino

I am the of Senior Vice President of LDM Associates, Inc., the  
Proposer herein. I have read the foregoing statement and know the contents thereof; and I certify that the  
same is true of my own knowledge, except as to those matters which are therein stated upon my information or  
belief, and as to those matters I believe it to be true.


Executed on 8/22/18 at Rancho Cucamonga, California  
(date) (place)

I declare, under penalty of perjury, that the foregoing is true and correct.

  
\_\_\_\_\_  
Signature of Proposer

Senior Vice President

\_\_\_\_\_  
Title

  
\_\_\_\_\_  
Signature of Proposer

C.F.O.

\_\_\_\_\_  
Title

CITY OF RIALTO  
REQUEST FOR PROPOSAL #19-014  
STATEMENT OF PROPOSER'S PAST CONTRACT DISQUALIFICATIONS

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Pursuant to Section 10162 of the Public Contract Code the Proposer shall state whether such Proposer, any officer or employee of such Proposer who has a proprietary interest in such Proposer has ever been disqualified, removed, or otherwise prevented from proposing on, or completing a Federal, State or Local Government Project because of a violation of law or a safety regulation; and if so, explain the circumstances.

If the Proposer has had a contract terminated for default, all such incidents must be described. Termination for default is defined as notice to stop performance due to the Proposer's non-performance or poor performance and the issue was either not litigated; or litigated and such litigation determined the Proposer to be in default. Submit full details of all termination(s) for default experienced by the Proposer including the other party's name, address and telephone number. Present the Proposer's position on the matter. The City will evaluate the facts and may, at its sole discretion, reject the Proposer's proposal if the fact discovered indicates the completion of a contract resulting from the RFP may be jeopardized by selection of the Proposer.

If no such termination for default has been experienced by the Proposer in the past five years, so indicate.

1. Do you have any disqualification, removal, etc., as described in the above paragraph to declare?  
Yes ☐ No ☒
2. If yes, explain the circumstances. Attach additional pages if necessary.

---

Executed on 8/22/18 at Rancho Cucamonga, California.

**I declare, under penalty of perjury, that the foregoing is true and correct.**

  
\_\_\_\_\_  
Signature of Authorized Representative

Rudy E. Munoz  
\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Title

Senior Vice President  
\_\_\_\_\_  
Title

\_\_\_\_\_  
Company Name

LDM Associates, Inc.  
\_\_\_\_\_  
Company Name

\_\_\_\_\_  
Date Signed

8/22/18  
\_\_\_\_\_  
Date Signed



CITY OF RIALTO  
REQUEST FOR PROPOSAL #19-014  
CERTIFICATION OF NON-DISCRIMINATION BY CONTRACTORS

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As suppliers of goods or services to the City of Rialto, the firm listed certified that it does not discriminate in its employment with regard age, handicap, race, color, religion, sex, or national origin; that it is in compliance with all federal, state, local directives, and executive orders regarding non-discrimination in employment; and that it agrees to demonstrate positively and aggressively the principle of equal employment opportunity in employment. Every bidder in violation of this section is subject to all penalties imposed for violation of Chapter 1 of Part VII, Division 2 of the Labor Code, in accordance with the provisions of Section 1753 thereof.

We agree specifically:

1. To establish or observe employment policies which affirmatively promote opportunities for minority persons at all job levels.
2. To communicate this policy to all persons concerned, including all company employees, outside recruiting services, especially those serving minority communities, and to the minority communities at large.
3. To take affirmative steps to hire minority employees within the company.



Signature of Authorized Representative

Rudy E. Munoz

Printed Name/Title

LDM Associates, Inc.

Company Name

10722 Arrow Route, Suite 822

Address

Rancho Cucamonga, CA 91730

City, State, Zip Code

8/22/18

Date Signed

Please include any additional information available regarding equal opportunity employment programs now in effect within your company.

CITY OF RIALTO  
REQUEST FOR PROPOSAL #19-014  
NON-COLLUSION AFFIDAVIT

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The undersigned bidder or agent, being duly sworn on oath, says that he/she has not, nor has any other member, representative, or agent of the firm, company, corporation or partnership represented by him, entered into any combination, collusion or agreement with any person relative to the price to be bid by anyone at such letting nor to prevent any person from bidding nor to include anyone to refrain from bidding, and that this bid is made without reference to any other bid and without any agreement, understanding or combination with any other person in reference to such bidding.

He/She further says that no person or persons, firms, or corporation has, have or will receive directly or indirectly, any rebate, fee gift, commission or thing of value on account of such sale.

**OATH AND AFFIRMATION**

**I HEREBY AFFIRM UNDER THE PENALTIES FOR PERJURY THAT THE FACTS AND INFORMATION CONTAINED IN THE FOREGOING BID FOR PUBLIC WORKS ARE TRUE AND CORRECT.**

Dated this 22 day of AUGUST, 2018

LDM Associates, Inc.

(Name of Organization)

Senior Vice President - RODOLFO E. MUÑOZ

(Title of Person Signing)

(Signature)

**ACKNOWLEDGEMENT**

STATE OF CALIFORNIA )

) ss

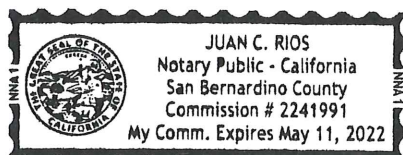
COUNTY OF SAN BERNARDINO )

Before me, a Notary Public, personally appeared the above named and swore that the statements contained in the foregoing document are true and correct.

Subscribed and sworn to me this 22 day of AUGUST, 2018.

[Signature]  
Notary Public Signature

My Commission Expires: MAY 11, 2022





## 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.	1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank. <b>LDM Associates, Inc.</b>	
	2 Business name/disregarded entity name, if different from above	
	3 Check appropriate box for federal tax classification; check only <b>one</b> of the following seven boxes: <input type="checkbox"/> Individual/sole proprietor or single-member LLC <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▶ _____ <b>Note.</b> For a single-member LLC that is disregarded, do not check LLC; check the appropriate box in the line above for the tax classification of the single-member owner. <input type="checkbox"/> Other (see instructions) ▶ _____	
	4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3): Exempt payee code (if any) _____ Exemption from FATCA reporting code (if any) _____ <small>(Applies to accounts maintained outside the U.S.)</small>	
	5 Address (number, street, and apt. or suite no.) <b>P.O. Box 368</b>	Requester's name and address (optional)
	6 City, state, and ZIP code <b>Rancho Cucamonga, CA 91729-0368</b>	
	7 List account number(s) here (optional)	

### Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the 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.

**Note.** If the account is in more than one name, see the instructions for line 1 and the chart on page 4 for guidelines on whose number to enter.

Social security number								
			-				-	
or								
Employer identification number								
0	1	-	0	5	7	3	1	0 6

### Part II Certification

Under penalties of perjury, I certify that:

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

**Certification instructions.** You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 3.

Sign Here	Signature of U.S. person ▶ 	Date ▶ <b>8/22/18</b>
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### General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

**Future developments.** Information about developments affecting Form W-9 (such as legislation enacted after we release it) is at [www.irs.gov/fw9](http://www.irs.gov/fw9).

#### Purpose of Form

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

- Form 1099-INT (interest earned or paid)
- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)

- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

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

*If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding? on page 2.*

By signing the filled-out form, you:

- Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
- Certify that you are not subject to backup withholding, or
- 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
- Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct. See *What is FATCA reporting?* on page 2 for further information.



**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.

## Backup Withholding

**What is backup withholding?** Persons making certain payments to you must under certain conditions withhold and pay to the IRS 28% 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* above.

## 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

### Line 1

You must enter one of the following on this line; **do not** leave this line blank. The name should match the name on your tax return.

If this Form W-9 is for a joint account, list first, and then circle, the name of the person or entity whose number you entered in Part I of Form W-9.

a. **Individual.** Generally, enter the name shown on your tax return. If you have changed your last name without informing the Social Security Administration (SSA) of the name change, enter your first name, the last name as shown on your social security card, and your new last name.

**Note. ITIN applicant:** Enter your individual name as it was entered on your Form W-7 application, line 1a. This should also be the same as the name you entered on the Form 1040/1040A/1040EZ you filed with your application.

b. **Sole proprietor or single-member LLC.** Enter your individual name as shown on your 1040/1040A/1040EZ on line 1. You may enter your business, trade, or "doing business as" (DBA) name on line 2.

c. **Partnership, LLC that is not a single-member LLC, C Corporation, or S Corporation.** Enter the entity's name as shown on the entity's tax return on line 1 and any business, trade, or DBA name on line 2.

d. **Other entities.** Enter your name as shown on required U.S. federal tax documents on line 1. 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 line 2.

e. **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 Regulations section 301.7701-2(c)(2)(iii). Enter the owner's name on line 1. The name of the entity entered on line 1 should never be a disregarded entity. The name on line 1 should 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 line 1. 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 line 2, "Business name/disregarded entity name." 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.



**Line 2**

If you have a business name, trade name, DBA name, or disregarded entity name, you may enter it on line 2.

**Line 3**

Check the appropriate box in line 3 for the U.S. federal tax classification of the person whose name is entered on line 1. Check only one box in line 3.

**Limited Liability Company (LLC).** If the name on line 1 is an LLC treated as a partnership for U.S. federal tax purposes, check the "Limited Liability Company" box and enter "P" in the space provided. If the LLC has filed Form 8832 or 2553 to be taxed as a corporation, check the "Limited Liability Company" box and in the space provided enter "C" for C corporation or "S" for S corporation. If it is a single-member LLC that is a disregarded entity, do not check the "Limited Liability Company" box; instead check the first box in line 3 "Individual/sole proprietor or single-member LLC."

**Line 4, Exemptions**

If you are exempt from backup withholding and/or FATCA reporting, enter in the appropriate space in line 4 any code(s) that may apply to you.

**Exempt payee code.**

- Generally, individuals (including sole proprietors) are not exempt from backup withholding.
- Except as provided below, corporations are exempt from backup withholding for certain payments, including interest and dividends.
- Corporations are not exempt from backup withholding for payments made in settlement of payment card or third party network transactions.
- Corporations are not exempt from backup withholding with respect to attorneys' fees or gross proceeds paid to attorneys, and corporations that provide medical or health care services are not exempt with respect to payments reportable on Form 1099-MISC.

The following codes identify payees that are exempt from backup withholding. Enter the appropriate code in the space in line 4.

- 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 U.S. commonwealth or possession, 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 U.S. commonwealth or possession
- 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 <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 reportable under section 6045(f), 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 requester may indicate that a code is not required by providing you with a Form W-9 with "Not Applicable" (or any similar indication) written or printed on the line for a FATCA exemption code.

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 U.S. commonwealth or possession, 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 Regulations 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 Regulations 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

**Note.** You may wish to consult with the financial institution requesting this form to determine whether the FATCA code and/or exempt payee code should be completed.

**Line 5**

Enter your address (number, street, and apartment or suite number). This is where the requester of this Form W-9 will mail your information returns.

**Line 6**

Enter your city, state, and ZIP code.

**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 this page), 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 SSA office or get this form online at [www.ssa.gov](http://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](http://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](http://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 line 1 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 <sup>1</sup>
3. Custodian account of a minor (Uniform Gift to Minors Act)	The minor <sup>2</sup>
4. a. The usual revocable savings trust (grantor is also trustee) b. So-called trust account that is not a legal or valid trust under state law	The grantor-trustee <sup>1</sup> The actual owner <sup>1</sup>
5. Sole proprietorship or disregarded entity owned by an individual	The owner <sup>2</sup>
6. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulations section 1.671-4(b)(2)(i)(A))	The grantor <sup>*</sup>
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 <sup>4</sup>
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 Regulations section 1.671-4(b)(2)(i)(B))	The trust

<sup>1</sup> 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.

<sup>2</sup> Circle the minor's name and furnish the minor's SSN.

<sup>3</sup> 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.

<sup>4</sup> 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 2.

**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, 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](mailto: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 (TIGTA) at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at: [spam@uce.gov](mailto:spam@uce.gov) or contact them at [www.ftc.gov/idtheft](http://www.ftc.gov/idtheft) or 1-877-IDTHEFT (1-877-438-4338).

Visit [IRS.gov](http://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.