

VENDOR STATEMENT OF BUSINESS AND LEGAL RELATIONSHIPS

The Railroad is required by IRS guidelines to obtain a Form W-9 from all payees. This substitute form is designed to fulfill the Form W-9 information requirements and identify all Business & Legal Relationships with the Railroad. Please complete the items listed below.

Please ensure that the Name and TIN you provide are exactly as they appear on Federal IRS reporting for you or your business, whichever applies. If you are uncertain how to properly complete this form, please consult with your income tax preparer or the Internal Revenue Service.

A. FORM W-9 REQUEST FOR TAXPAYER IDENTIFICATION NUMBER (TIN) AND CERTIFICATION
(Please type or print)

Legal Name of Entity (must match TIN) _____

Business name, if different from above _____

Address _____

City _____ State _____ Zip _____

State of Incorporation or Organization's Headquarters _____

Principal Owner(s)/Partners or Chief Operating Officer _____

Remittance Address _____

City _____ State: _____ Zip _____

Primary Contact within your Company

Contact Name _____ Contact Title _____

E-Mail Address _____ Phone Number _____ - _____ - _____ Fax _____ - _____ - _____

Insurance Contact within your Company

Contact Name _____ Contact Title _____

E-Mail Address _____ Phone Number _____ - _____ - _____ Fax _____ - _____ - _____

Part 1: Federal Taxpayer Identification Number (TIN)
FAILURE TO PROVIDE TIN WILL RESULT IN FULL WITHHOLDING OF PAYMENTS DUE.

_____-_____-_____
Employer Identification Number **OR** _____-_____-_____
Social Security Number

Individual Sole Proprietorship Partnership C Corporation S Corporation

Limited Liability Company _____ State/Local Government Federal Government
(Enter the tax classification
C=C corporation, S=S corporation, P=partnership)

Nonprofit Organization

Are you currently subject to backup withholding? YES: NO:
(The IRS should have notified you if you were subject to backup withholding)
Does your business require a Form 1099 at year end? YES: NO:

Part 2: Certification

Under penalty of perjury, I certify the number shown on this form is our correct Taxpayer Identification Number (or we are waiting for a number to be issued.)

Signature: _____ Title _____ Date: _____

I certify I am an officer/owner or have assigned contractual authority for above named entity.

Company Financial Information

Estimated Annual Sales for Present Year: \$ _____ Year _____

Annual Sales for Last Year: \$ _____ Year _____

Dun & Bradstreet credit rating: _____ Year _____

How long has company been in business? (years) _____

Has company done business under any other name in past five years? YES: NO:

If yes, please provide company name(s). _____

Company Ownership Ethnicity / Certification (identify all that apply)

- Not a Minority
- Woman Owned Business Enterprise (WBE)

Minority Owned Business Enterprise (MBE)

- Black American
- Hispanic American
- Native American
- Asian American
- Asian Indian American
- Asian Pacific American
- Other _____

Veteran Status

- Veteran

Certification Agency _____ Certification Number _____ Expiration Date _____

Business and Legal Relationships

1. Is the vendor or are any employees of the vendor currently employed by the Board of Directors of the Railroad? (if yes, identify, including position title)
NO: YES:

2. Does the vendor have any employees who are also employees of the Railroad? (if yes, identify, including position title)
NO: YES:

3. To the best of your knowledge are any of the vendors employees members of the Board of Directors of the Railroad? (if yes, identify, including position title, date left employment of Railroad)
NO: YES:

4. To the best of your knowledge have any of the vendor's management, supervisors, principals, employees or subcontractors that will be used on the services rendered to the railroad been an employee of the Railroad in the last five years? ? (if yes, identify, including position title)
NO: YES:

5. Are any of the vendor's management, supervisors, or principals related to current or former Railroad employee? (if yes, please identify the Railroad employee as well as the vendor's employee and the relationship)
NO: YES:

6. Are any of the vendor's management, supervisors, or principals involved in any way in litigation with the Railroad or Union Pacific Corporation (UPC)? Is the vendor currently representing anyone involved in litigation with the Railroad or UPC? (if yes, please identify)
 NO: YES:

7. Does the vendor have any business activities or relationships (other than described above) that might conflict with the interest of the Railroad? (if yes, please identify)
 NO: YES:

Company Information

1. Number of employees employed by your Company _____

2. What investment does vendor have in their business? E.g., equipment, tools, property, state certification, union certification, etc.

3. Does vendor advertise their trade or business? NO: YES:

4. How many other customers does vendor have? _____

5. List major customers vendor has, besides Railroad:

<u>Major Customer</u>	<u>Contact Name</u>	<u>Phone Number</u>

5. Please check all states and countries you would be willing to provide services in; (If you are willing to provide services anywhere in the USA, please check the All States box)

- AL AK AZ AR CA CO CT DE DC FL
- GA HI ID IL IN IA KS KY LA ME
- MD MA MI MN MS MO MT NE NV NH
- NJ NM NY NC ND OH OK OR PA RI
- SC SD TN TX UT VT VA WA WV WI WY
- ALL STATES CANADA MEXICO

6. Identify the types of services you can provide

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Definitions

Minority Business Enterprise, Women's Business Enterprise, and relatives:

Railroad is committed to utilizing and developing women and minority-controlled firms which can provide us with many of our requirements in advertising, banking, legal, construction and repair work, equipment, arts, transportation, services, materials, repairs and any other areas that may be applicable to the operation of our business. For purpose of this policy:

- (1) "Minority Business Enterprise" means a large or small business that is at least 51% owned and controlled by minority group members or, in the case of a publicly owned business, at least 51% of the stock is owned by minority group members. Further, the management and daily business operations are controlled by one or more such individuals.

"Minority Group Members" are US. citizens and include the following: Black Americans, Hispanic Americans, Native Americans, Asian Pacific Americans and Asian Indian Americans. Native includes American Indians, American Eskimos, American Aleuts, and Native Hawaiians. Asian-Pacific Americans include United States citizens whose origins are from Japan, China, The Philippines, Vietnam, Korea, Samoa, Guam, the US. Trust Territories of the Pacific, Northern Marianas, Laos, Cambodia, and Taiwan. The term "Asian Indian Americans" includes United States citizens whose origins are from India, Pakistan, and Bangladesh.

- (2) "Women's Business Enterprise" means a business which is 51% owned, controlled and operated by a woman or women.
- (3) "Relative" means parents, spouses, sons, daughters, stepsons, stepdaughters, brothers, sisters, aunts, uncles, nephews, nieces, first cousins, grandchildren, grandparents, fathers-in-law, mothers-in-law, daughters-in-law, sons-in-law, brothers-in-law, and sisters-in-law.