Value analysis package

TABLE OF CONTENTS

Preventogen

Preventogen

FDA CLEARED

Clinically proven, non-antibiotic microbicidal barrier

Preventogen is an FDA cleared microbicidal liquid agent that kills viruses, fungi and bacteria on contact and forms an elastomeric film covering to protect the wound from water, dirt and germs to prevent infection.

How Preventogen works

5 seconds

KILLS PATHOGENS

Preventogen actively kills viruses, fungi and bacteria on contact by lysing the cell membrane leading to quick cell death

30 seconds

SEALS

The liquid dries, creating a clear, biodegradable, odorless and elastomeric film barrier

1 minute

PROTECTS

The flexible film barrier protects the wound from water, dirt and oxygen

first 24 hours

PROVIDES AN OPTIMAL HEALING ENVIRONMENT

The carbon dioxide that is infused into Preventogen during the manufacturing process is released, lowering the pH of the wound bed which helps to promote healing

Preventogen has been proven to kill[1]

BACTERIA

Acinetobacter baumanii (multi-antibiotic resistant)
Campylobacter jejuni (drug-resistant)
Clostridioides difficile**
Carbapenem-resistant Enterobacter cloacae**
Enterococcus faecalis (drug-resistant)
Escherichia coli
MRSA: Methicillin-resistant Staphylococcus aureus*
Mycobacterium avium
Neisseria gonorrhoeae (drug-resistant)**
Pseudomonas aeruginosa
Shigella flexneri
Staphylococcus aureus
Streptococcus pneumoniae (drug-resistant)*
Streptococcus pyogenes
VRE: Vancomycin-resistant Enterococci*

FUNGI

Aspergillus brasiliensis
Candida albicans (drug-resistant)*
Candida auris (antibiotic resistant)**
Trichophyton mentagrophytes
Trichophyton rubrum

VIRUS

Herpes Simplex Virus Type 1
Monkeypox Virus (USA-2003)
Varicella Zoster Virus

**Urgent CDC threats
*Serious CDC threats

WARNINGS: For use on minor wounds, cuts, abrasions, burns and scrapes. Skin must be dry. Not for use on deep, infected, or puncture wounds. Do not use near eyes, nose or mouth. For external use only.

Please see Instructions for Use for complete information.

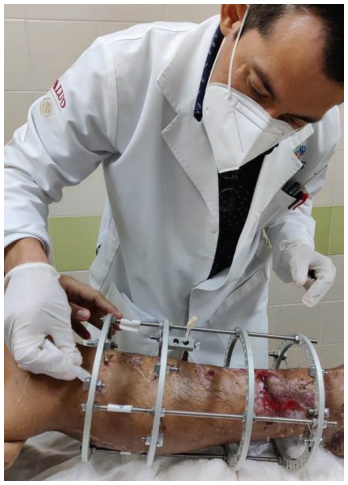
Preventogen.com

Preventogen

Clinically proven microbicidal barrier

Preventogen showed a statistically significant reduction in pin-tract infections ($P < 0.001$)[2]

PREVENTOGEN (n=60 pins)	STANDARD OF CARE / SALINE (n=60 pins)
0% NO PIN-TRACT INFECTIONS	23% 14 (23%) PIN-TRACT INFECTIONS



In a meta-analysis of 150 peer reviewed clinical studies involving 6,130 patients undergoing external fixation, the cumulative pin track infection rate was 27%[3]

A microbicidal and physical barrier to diminish the bioburden associated with early-stage wounds

ACTIVELY KILLS BACTERIA, FUNGI AND VIRUSES ON CONTACT

- Forms an elastomeric barrier that protects the wound
- Prevents bacterial adhesion[2]

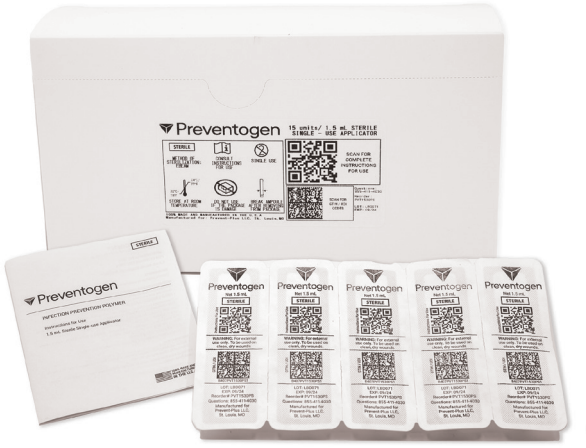
CONTAINS NO ANTIBIOTICS

- No known microbial resistance

ELASTOMERIC BARRIER SEALS AND PROTECTS

- Film barrier is waterproof and odorless
- Biodegradable, with no need to remove prior product
- Can be used under fluoroscopy

PROVIDES AN OPTIMAL HEALING ENVIRONMENT



References: 1. Preventogen data on file. 2. Pema, S. (2020). An evaluation of the use of a novel microbicidal liquid polymer for the reduction of pin-tract infection in external fixation procedures for deformity correction and traumatic provisional fixation. *Clin Microbiol Infect Dis*, 5:1-5 3. Iobst C, Liu R. (2016). A systematic review of incidence of pin track infections associated with external fixation. *Journal of Limb Lengthening & Reconstruction*,(2):6-16.

WARNINGS: For use on minor wounds, cuts, abrasions, burns and scrapes. Skin must be dry. Not for use on deep, infected, or puncture wounds. Do not use near eyes, nose or mouth. For external use only.

Preventogen

STERILE

PREVENTOGEN™

INFECTION PREVENTION POLYMER

Instructions for Use

FOR EXTERNAL USE ONLY

1.5 mL Sterile Single-use Applicator

INGREDIENTS

Organic polymer in methylene chloride organic solvent

INTENDED USE AND PRODUCT DESCRIPTION

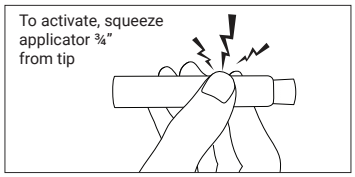
- Preventogen is indicated for providing a protective covering over closed surgical incisions and excisions, minor wounds and scrapes that are clean and dry
- Forms a microbicidal barrier [destructive to microbes]
- Preventogen provides an organic, clear, elastomeric, flexible, water resistant, non-odorous film for covering minor wounds, cuts, abrasions, burns and scrapes
- The film protects the wound against water, dirt and germs and is not intended as a treatment or cure for all types of wounds
- The elastomeric properties of the film help protect in difficult body regions where flexing, bending and creasing skin occurs
- Protects wound during healing
- Protects skin from blisters, calluses, and sores due to rubbing

PREPARATION

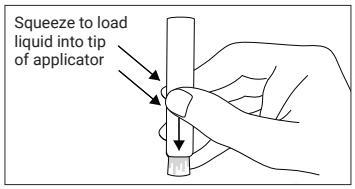
- Before applying Preventogen remove any moisturizers, lotions, soaps or creams thoroughly, clean and dry the skin
- Protect sensitive areas, such as stomas and mucous membranes (mouth, eyes and inner nose)

APPLICATION

- Remove applicator from blister package
- Hold applicator horizontally and squeeze the tube with thumb and forefinger just below the tip to break the internal vial and release the Preventogen solution



- Turn the applicator tip downward and gently squeeze the stick to wet out the tip, being careful not to squeeze too hard creating a drip



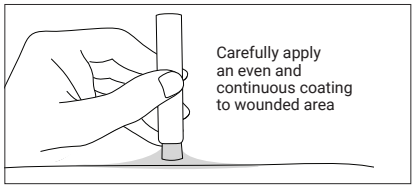
Applying more pressure will deliver more fluid to the applicator tip, but be cautious of over-squeezing

DO NOT use a milking motion or overly manipulate the applicator, the liquid will move toward tip with gravity

- Allow gravity to feed the tip, but you may gently squeeze the stick if more solution is needed
- To slow down the flow, release pressure on the stick
- When the tip is fully saturated, begin treating the surface immediately
- Apply the liquid evenly in a counter-clockwise orientation around the wound
- Cover an area that extends beyond the edges of the wound at least 1.25 in
- Momentary stinging may occur
- When used at room temperature, Preventogen will dry in less than one minute and form and polymerize into an elastomeric barrier

APPLICATION CONT

- Inspect film to be sure a complete, continuous covering of the wound and the surrounding area has occurred



- Preventogen will cover an area approximately 5 in x 5 in, or 2 in x 11 in
- Ensure that Preventogen has completely dried before covering with clothing, additional dressings, adhesives or athletic tape
- Depending on skin type, humidity, activity level and friction on the application surface, Preventogen will naturally wear off over 24 to 72 hours but may last longer when covered with additional dressing and/or areas that receive less friction and use
- You may begin to see raised edges of the Preventogen polymer after swimming, showering or physical activity
- The dry film covering should be inspected frequently for leakage and loosening of the edges
- Additional layers may be applied if the dry film begins to slough off or peel around the edges

REMOVAL

- To remove the film, wash the area with soap and water and gently peel off starting at the outer edges

STORAGE

- Store at room temperature between 59-86°F / 15-30°C
- Do not expose the product to direct sunlight

CAUTION

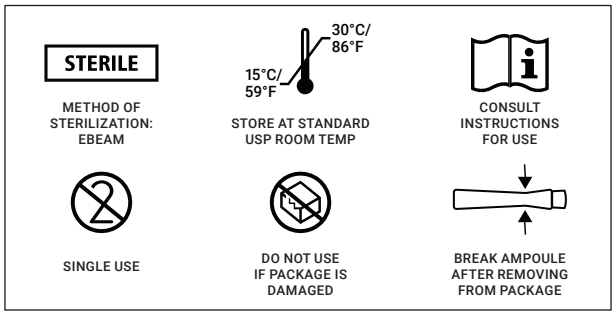
- For external skin use only.
- Do not use on deep or infected wounds or puncture wounds. Contact a physician for deep, puncture or infected wounds, animal bites, redness, swelling, or pain
- Intentional inhalation of the contents may be harmful or fatal. Use with adequate ventilation. Avoid contact of the solution with clothes or finished surfaces. Do not store near heat or flames.
- Do not place in plastic basin.
- Keep away from children, do not use near eyes, mouth, or nose. In case of ingestion, obtain medical assistance immediately

CONTENTS

- 1.5 mL sterile single patient use applicator
- The product is comprised of a crushable glass ampoule contained within an outer plastic tube with an attached cotton tip applicator
- The device is sealed within a blister pack to maintain device sterility until opened or damaged

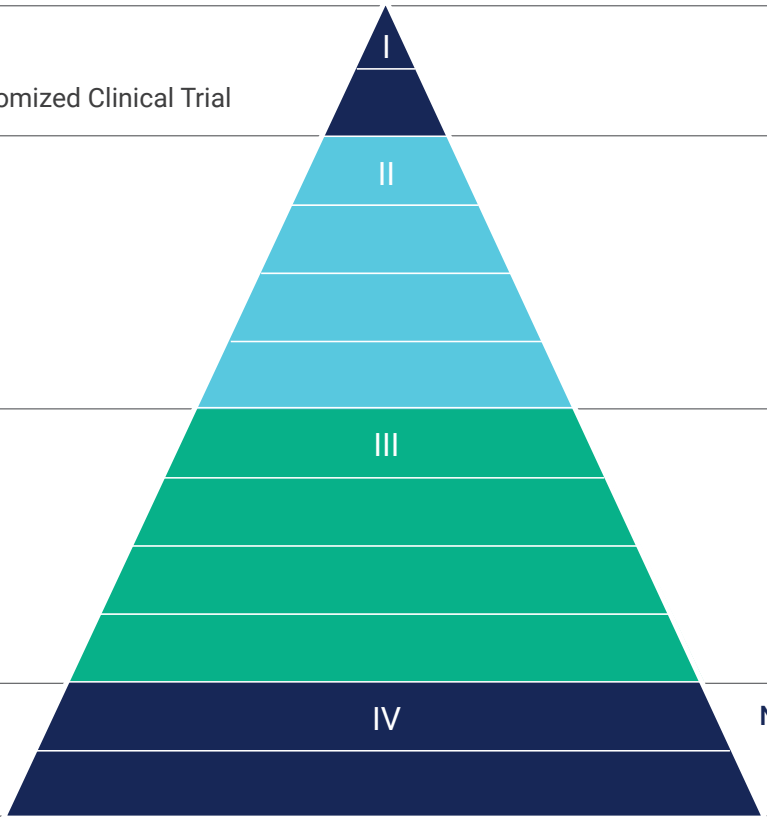
STERILITY

- Sterilized using E-Beam Sterilization per ISO 11137/13485 and FDA guidelines



Preventogen

Hierarchy of Preventogen evidence



LEVELS OF EVIDENCE

LEVEL 01:
Evidence from at least one properly randomized clinical trial

LEVEL 02:
Evidence from trials without randomization, well-designed cohort or case control analytic studies—preferably from more than one center or research group, case series, and case reports

LEVEL 03:
Opinions of respected authorities, decisions based on clinical experience, descriptive studies, case reports and patient testimonials

LEVEL 04:
Evidence based on physician feedback of personal clinical use

Preventogen

Summary of studies

Preventogen has been used on
OVER 10,000 PATIENTS

EXTERNAL FIXATION

Pema, 2020 – An Evaluation of the Use of a Novel Microbicidal Liquid Polymer for the Reduction of Pin-tract Infection in Research Participants Receiving External Fixation Following Deformity Correction and Traumatic Provisional Fixation *Clinical Microbl Inf Dis,* Common License (5):1-5.

Controlled; randomized; non-blinded; n=12 patients (120 pins); p>0.001

Pema, 2018 – Retrospective Evaluation of Microbicidal Polymer Dressing for Reduction of Infection following Post Deformity Correction Surgery, *Journal of Drugs in Dermatology,* 17(12):1322-1324.

Not controlled; n=6 patients (66 pins); retrospective case series

SURGICAL WOUNDS

Robins et al, 2008 – The Effectiveness of Liquid Bandage as an Adhesive and Antimicrobial Agent *Journal of Drugs and Dermatology,* 7(8):2-4.

Case description (n=3); not controlled;

Hsiung & Robins, 2005 – Evaluation of a Flexible New Liquid Polymer Wound Dressing *Journal of Drugs and Dermatology,* 4(5):2-4.

Case description (n=3); not controlled; grafts, biopsies

PODIATRY

Whittock et al, 20XX – Novel Approach to Management of Heel Fissures,

Abstract (not published) n=4; not controlled; 100% heel fissure healed in 4-12 weeks

Preventogen

Safety and efficacy considerations

1.0 CLASSIFICATION

Preventogen Elastic Skin Liquid Bandage in K032948 is classified under 21 CFR §880.5090 Liquid bandage as a Class 1 device with the product code KMF. This device is also cleared as an over-the-counter product.

2.0 INDICATIONS FOR USE

Preventogen Elastic Skin Liquid Bandage is indicated for providing a covering over minor wounds and scrapes that are clean and dry.

3.0 CLAIMS WITHIN CURRENT INDICATION

The following statements/claims are addressed in K032948. These statements may be used in advertising and promotional activities.

- Use on clean, dry wounds
- Use on closed surgical incisions and excisions that are clean and dry
- Forms a film covering to protect the wound from water, dirt, and germs to prevent infection
- Use on minor wounds, abrasions, minor burns
- Protects wound during healing
- Protect skin from blisters, calluses, and sores due to rubbing
- Microbicidal barrier [destructive to microbes]
- Protect minor wounds from germs, while providing flexibility and water vapor permeability
- Provides a clear, elastomeric, non-odorous film for covering minor wounds, cuts, abrasions, bums, and scrapes
- Protects in difficult body regions were movement such as flexing, bending, and creasing skin takes place
- Prevents Infection

4.0 PERFORMANCE TESTING

The following laboratory tests were conducted to establish the safety of Preventogen Elastic Skin Liquid bandage:
Self Preservation Study-Microorganisms listed in USP
Sterility-Mold and Fungus by Agar
Plate Count and Identification PRJ Primary Skin Irritation-Rabbits
Bacterial Mutagenicity Test-Ames Assay Repeated Patch Dermal Sensitization -Buehler Method
Guinea Pigs ISO Agarose Overlay Using L-929
Mouse Fibroblast Cells (Cytotoxicity Test) Microbial Film Barrier- Psuedomonas Aeruginosa ATCC 9027
All tests gave satisfactory results, indicating that Elastic Skin Liquid Bandage is safe and effective

Preventogen

In vitro studies

STUDY / STUDY NO	LABORATORY	M&M	RESULTS	BACTERIA	YEAST	VIRUS
510K data (non-GLP) **2003** **GM206MPK.01**	AppTek Laboratory Services	Inoculated fim at 105 for 3 days at 30-35°C; positive controls with holes in film	NO GROWTH	Staphylococcus aureus ATCC 6538 Pseudomonas aeruginosa ATCC 9027	Candida albicans ATCC 10231	
Wounded Full-thickness Tissue Model (GLP) **2016** **151073-407**	Biosciences Laboratory Inc	0.1 mL of test product for 5, 15 and 30 minutes; 1.0 mL for 0 minutes; negative and positive controls included	log reduction > 5 after 5 minutes but 3 or lower after 15 and 30 minutes	Steptococcus pyogenes ATCC 19615 Staphylococcus aureus (MRSA) ATCC 43300 Acinetobacter baumannii ATCC 19606		
Antimicrobial preservative effectiveness (GLP) **2016** **160297-203**	Biosciences Laboratory Inc	USP<51>; 14 and 28 days following inoculation; neutralization controls	log reduction >4 for all after 14 days and no increase in bacterial count after 28 days.	E coli ATCC 8739 Pseudomonas aeruginosa ATCC 9027 Staphylococcus aureus ATCC 6538	Aspergillus brasiliensis ATCC 16404 Candida albicans ATCC 10231	
Evaluation of recoverable microbial populations and pH change (GLP) **2019** **1810495-250**	Biosciences Laboratory Inc	1, 3 and 5 minutes exposures of clinical isolates	log reduction of approximately 1 (90%) at 1, 3 and 5 minutes log reduction of < 1 (<90%) at 1, 3 and 5 minutes	Pseudomonas aeruginosa BSLI 030116Pal Staphylococcus aureus MRSA BSLI 060613MRSA2		
Clinical determination of antifungal activity (comparative study with antifungal agents Jublia® (efinaconazole) and Kerydin® (tavaborole) (GLP) **2016** **151128-150**	Biosciences Laboratory Inc	ASTM E2613-14 (fingerpads of adults)	similar log reductions: 0.37 (ESLB); 0.19 (Jublia); 0.63 (Kerydin) similar log reductions: 1.55 (ESLB); 1.39 (Jublia); 1.86 (Kerydin) similar log reductions: 0.82 (ESLB); 1.27 (Jublia); 0.79 (Kerydin)		Aspergillus brasiliensis ATCC 16404 Candida albicans ATCC 10231 Trichophyton rubrum ATCC 28191	

Preventogen

In vitro studies, cont.

STUDY / STUDY NO	LABORATORY	M&M	RESULTS	BACTERIA	YEAST	VIRUS
TIME-KILL EVALUATION (GLP) 2019 1904161-201	Biosciences Laboratory Inc	30 and 90 seconds, and 2 minute exposures	> 5 log reduction after 30 seconds exposure		Candida auris (AR-Bank 0390)	
EVALUATION OF ANTIVIRAL EFFICACY (GLP) 2015 150978-402	Biosciences Laboratory Inc	ASTM E1052-11	log reduction of 5 after 30 seconds and beyond			Herpes simplex virus Type I ATCC VR-260
			log reduction of 4 after 30 seconds and beyond			Varicella Zoster virus ATCC VR-1367
EVALUATION OF ANTIVIRAL EFFICACY (NON-GLP) 2016 151167-403	Biosciences Laboratory Inc	IC50 and IC90 determination	No activity against these viruses			Epstein-Barr virus
						Cytomegalovirus
						HIV-1
						Influenza virus (H1N1)

Preventogen

Laboratory testing results

Preventogen has been proven to kill

BACTERIA

Acinetobacter baumanii (multi-antibiotic resistant)
Campylobacter jejuni (drug-resistant)
Clostridioides difficile**
Carbapenem-resistant Enterobacter cloacae**
Enterococcus faecalis (drug-resistant)
Escherichia coli
MRSA: Methicillin-resistant Staphylococcus aureus*
Mycobacterium avium
Neisseria gonorrhoeae (drug-resistant)**
Pseudomonas aeruginosa
Shigella flexneri
Staphylococcus aureus
Streptococcus pneumoniae (drug-resistant)*
Streptococcus pyogenes
VRE: Vancomycin-resistant Enterococci*

FUNGI

Aspergillus brasiliensis
Candida albicans (drug-resistant)*
Candida auris (antibiotic resistant)**
Trichophyton mentagrophytes
Trichophyton rubrum

VIRUS

Herpes Simplex Virus Type 1
Monkeypox Virus (USA-2003)
Varicella Zoster Virus

**Urgent CDC threats
*Serious CDC threats

To view log reduction data: preventogen.com/in-vitro-data

PREVENTOGEN IN VITRO LAB DATA ON FILE:

1. Robins et al, (2008), The Effectiveness of Liquid Bandage as an Adhesive and Antimicrobial Agent. *Journal of Drugs and Dermatology*, 2008 Aug;7(8):764-6. PMID: 18720693.
2. Study: 918905 (2013), ASTM E-2315. Testing facility: WuXiTec, Marietta, Georgia USA
3. Study: 919536 (2013), ASTM E-2315. Testing facility: WuXiTec, Marietta, Georgia USA
4. Study: 150978-402 (2015), A GLP EVALUATION OF ONE TEST PRODUCT FOR ITS VIRUCIDAL PROPERTIES FOLLOWING THE ASTM E-1052-11 IN-VITRO VIRUCIDAL SUSPENSION METHOD. Testing facility: BIOSCIENCE LABORATORIES, INC, Bozeman, Montana USA
5. Study: 160297-203 (2016), ANTIMICROBIAL PRESERVATIVES EFFECTIVENESS EVALUATION OF ONE PRODUCT WHEN CHALLENGED WITH FIVE MICROORGANISM SPECIES. Testing facility: BIOSCIENCE LABORATORIES, INC, Bozeman, Montana USA
6. Study: 151128-150 (2016), CLINICAL DETERMINATION OF THE ANTIFUNGAL EFFICACY OF ONE TEST PRODUCT WITH TWO COMPARATOR PRODUCTS FOLLOWING THE ASTM E2613 STANDARDIZED TEST METHOD. Testing facility: BIOSCIENCE LABORATORIES, INC, Bozeman, Montana USA
7. Study: 151073-407 (2016), EVALUATION OF ONE FORMULATION WHEN APPLIED A WOUNDED FULL THICKNESS TISSUE MODEL IN TWO DIFFERENT METHODS OF APPLICATION TO EVALUATE ANTIMICROBIAL ACTIVITY. Testing facility: BIOSCIENCE LABORATORIES, INC, Bozeman, Montana USA
8. Study: 1904161-201 (2019), AN IN-VITRO TIME-KILL EVALUATION OF ONE TEST PRODUCT WHEN CHALLENGED WITH *CANDIDA AURIS.* Testing facility: BIOSCIENCE LABORATORIES, INC, Bozeman, Montana USA
9. Study: 2208409-408 (2022), EVALUATION OF ONE TEST PRODUCT FOR ITS VIRUCIDAL PROPERTIES BASED UPON THE ASTM EI052-20 METHOD. Testing facility: NELSON LABORATORIES BOZEMAN, LLC, Bozeman, Montana USA
10. Study: 2208408-201 (2023), A GLP IN-VITRO TIME-KILL EVALUATION BASED UPON ASTM METHOD E2783-22. Testing facility: NELSON LABORATORIES BOZEMAN, LLC, Bozeman, Montana USA

Preventogen

Economic impact of surgical site infections

PROCEDURE	# OF SURGERIES	SSIS	SSI RATE	CHANGE IN HEALTH SYSTEM PROFITS IF SSIS ARE ELIMINATED AND NO 30 DAY REIMBURSEMENT
Adult Spine Fusion	4404	179	4.06%	$3,321,000
Adult Spinal Refusion	542	12	2.21%	$173,548
C-Section	2607	110	4.22%	$950,064
Colon Surgery	318	6	1.89%	$53,064
Hip Prosthesis	2204	37	1.68%	$636,957
Knee Prosthesis	3190	27	0.85%	$350,419
Breast Flap	2392	152	6.35%	N/A
TOTAL	15657	523	3.34%	$5,485,052

Financial impact of surgical site infections on hospitals: the hospital management perspective.
J. Shepard, W. Ward, +4 authors T. Perl
Published 1 October 2013, Medicine, JAMA surgery

Am J Infect Control. Author manuscript; available in PMC 2016 Jun 1.
Published in final edited form as:
Am J Infect Control. 2015 Jun 1; 43(6): 617–623.
Published online 2015 Mar 26. doi: 10.1016/j.ajic.2015.02.012
PMCID: PMC4573529, NIHMSID: NIHMS719170, PMID: 25818024
Procedure-specific Surgical Site Infection Incidence Varies Widely within Certain National Healthcare Safety Network Surgery Groups
Mohammed J Saeed, MBChB, MPH,a Erik R Dubberke, MD, MSPH,a Victoria J Fraser, MD,a and Margaret A Olsen, PhD, MPHa,b

FDA U.S. FOOD & DRUG ADMINISTRATION

Establishment Registration & Device Listing

New Search Back To Search Results

Proprietary Name:	Elastic Skin
Classification Name:	BANDAGE, LIQUID
Product Code:	KMF[66]
Device Class:	1
Regulation Number:	880.5090[77]
Medical Specialty:	General Hospital
Registered Establishment Name:	PREVENT PLUS, LLC.[88]
Registered Establishment Number:	3012669304
Premarket Submission Number:	K032948[99]
Owner/Operator:	Prevent-Plus, LLC[1010]
Owner/Operator Number:	10052036
Establishment Operations:	Specification Developer

Preventogen

CUSTOMER ACCOUNT REGISTRATION

SHIPPING INFORMATION			
Facility name:			
Shipping address:			
City:		State:	Zip:
Shipping account #	FedEx:		

CONTACT INFORMATION - PURCHASING			
Purchasing contact name:			
Purchasing contact phone:		Fax:	
Email (for P.O. confirmation):			
Do you contract with a GPO?	Yes No	GPO affiliation:	
	Contract #:		Activation date:

BILLING INFORMATION			
Invoice/Bill to:			
Billing address:			
City:		State:	Zip:
Is your facility tax-exempt?	Yes No	Tax exempt certificate #:	

CONTACT INFORMATION - ACCOUNTS PAYABLE	
AP contact name:	
AP contact phone:	Fax:
AP department manager email:	
Invoice submission email:	

FOR INTERNAL USE ONLY	
ACCOUNT NO.	MOP
SALES REP	SUB
DATE	

Form **W-9**
(Rev. November 2017)
Department of the Treasury
Internal Revenue Service

Request for Taxpayer Identification Number and Certification

[a] **Go to *www.irs.gov/FormW9* for instructions and the latest information.**

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

Print or type. See **Specific Instructions** on page 3.

1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.

Prevent-Plus,LLC

2 Business name/disregarded entity name, if different from above

3 Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only **one** of the following seven boxes.

☐ Individual/sole proprietor or single-member LLC ☐ C Corporation ☐ S Corporation ☐ Partnership ☐ Trust/estate

☒ Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=Partnership) [a] _____

Note: Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is **not** disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner.

☐ Other (see instructions) [a]

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) _____

(Applies to accounts maintained outside the U.S.)

5 Address (number, street, and apt. or suite no.) See instructions.

PO Box 467

Requester's name and address (optional)

6 City, state, and ZIP code

St. Louis, MO 63040

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 instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN,* later.

Note: If the account is in more than one name, see the instructions for line 1. Also see *What Name and Number To Give the Requester* for guidelines on whose number to enter.

Social security number

			–		–				

or

Employer identification number

81		–	1	2	5	8	0	5	6

Part II Certification

Under penalties of perjury, I certify that:

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

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

Sign Here **Signature of U.S. person** _____ **Date**

General Instructions

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

Future developments. For the latest information about developments related to Form W-9 and its instructions, such as legislation enacted after they were published, go to *www.irs.gov/FormW9.*

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, *later.*