



1 Orchard Road, Suite 235 Lake Forest, CA 92630  
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## Broker Approval Package & Instructions

Thank you for your interest in becoming an approved broker with us! We look forward to serving you for many years to come.

Please complete the included documents and provide additional documentation as requested below.

**Each document to be sent in a separate PDF named and in the format of the examples below.**

- "complete company name" - California Department Of Real Estate License (Broker – "broker name")
- "complete company name" - California Department Of Real Estate License (corp)
- "complete company name" - Consulting Agreement
- "complete company name" - W9
- "complete company name" – Broker Deposit Form
- "complete company name" – Voided Corporate Check
- "complete company name" – Driver License **[required for sole proprietor only]**
- "complete company name" – Social Security Card **[required for sole proprietor only]**

### **Please confirm the following requirements**

- Include LO roster containing phone, email, NMLS # for all licensed originators
- Page 1 – Date and full legal name of business
- All pages of Consulting Agreement initialed by Broker Of Record
- Page 6 -Broker Of Record info, including telephone, email and fax numbers
- Page 7 – Printed name and signature. Broker of Record
- Consulting Agreement and all forms – **Must be signed by Broker of Record**
- **Signatures must be hand signed and scanned (no docusign etc)**

# COAST 2 COAST FUNDING GROUP, INC.

## CONSULTING AGREEMENT

This CONSULTING AGREEMENT ("Agreement") is made and entered into effective as of this \_\_\_\_\_ day of \_\_\_\_\_, 2024 ("Effective Date"), by and between \_\_\_\_\_, and **COAST 2 COAST FUNDING GROUP, INC.**, a California corporation ("Corporation"), with respect to the following facts:

### 1. RECITALS

1.1 Company is engaged generally in acting as a mortgage lender/brokerage.

1.2 Consultant has substantial business development and marketing expertise.

1.3 Company desires to contract with consultant to provide business development services to the Company and to develop a marketing plan for the Company's loan programs, and Consultant is willing to render such services in the manner and on the terms and conditions set forth herein.

1.4 Company and Consultant agree that the value of Consultant's services hereunder is uncertain, and the only way such value can be determined is based upon Company's success.

1.5 Company and Consultant therefore agree that Consultant shall be entitled to contingent compensation hereunder, based upon Company's performance as described herein.

NOW, THEREFORE, in consideration of the foregoing facts and the premises set forth herein, the parties agree as follows:

### 2. ENGAGEMENT OF CONSULTANT.

Company hereby engages Consultant as an independent contractor to provide business development services to the Company and to develop a marketing plan for the Company's loan programs and other services as Company and Consultant may agree, and Consultant accepts such engagement. It is expressly agreed by the parties that Consultant is at all times hereunder acting and performing as an independent contractor and that no act, commission or omission of consultant pursuant to the terms of this Agreement shall be construed to make or render Consultant the agent, employee, partner, joint ventures or associate of Company. Consultant shall be free to hire, at Consultant's sole cost and expense, assistants, and subcontractors to perform Consultant's duties hereunder; it being understood that Company is only interested in the results and not the means of Consultant's services hereunder. Notwithstanding the foregoing, all services to be provided are to be exclusively at the request of and for the benefit of the Company.

**3. TERM.**

This Agreement shall remain in full force and effect from the Effective Date until terminated by Company's provision of written notice to consultant and payment of all compensation contemplated hereunder.

**4. CONSULTANT'S SERVICES.**

Consultant shall provide such consulting services to Company in connection with Company's business development and marketing of Company's loan programs to improve Company's performance and business operations. Consultant's services shall include, but not be limited to, advice and consultation regarding Company's operating procedures, systems and controls, format of forms and documents which are developed by consultant or used by Company to facilitate efficient and effective administration and management, and general business and strategic advice. If the Company in its sole and absolute discretion should deem it necessary or appropriate to forego or eliminate any of the services specified herein, the fees to be paid to consultant shall be deemed earned.

4.1 Place of Service. Consultant's services shall be rendered at Consultant's principal office, and at such other place or places and at such times as Company shall specify to accomplish the purposes of this Agreement.

4.2 Availability of Consultant. Consultant's performance hereunder shall not require Consultant's full time, nor the full time of any of Consultant's employees. Company recognizes that Consultant's services shall be rendered at times reasonably acceptable to both parties; it being further understood that Consultant's availability by telephone from time to time for consultation may be sufficient to satisfy Consultant's responsibilities hereunder. Consultant understands that one of Company's primary motivations in entering into this Agreement is to take advantage of Consultant's experience, contacts, and knowledge in Company's industry, and that the value of Consultant's services to Company is related to Consultant's expertise and recommendations, and not necessarily the amount of time spent by consultant rendering services to the Company.

**5. FEE.**

Consultant shall be eligible for a contingent fee (the "Contingent Fee"), governed by Company's success based on the criteria set forth below.

5.1 Contingent Fee. The consultant will be entitled to compensation based on the effectiveness of the consultant's business development and marketing efforts for the Company.

5.2 Criteria for Contingent Fee. Consultant acknowledges that this Agreement has been entered into at arm's length and is based upon the Company's estimate of the value of Consultant's services to Company based upon Company's financial and operating performance. Any Contingent Fee shall be determined in Company's discretion, exercising good faith, based upon the availability of Company's incremental operating profits after allowance for all of Company's operating expenses, specifically including the following:

(A) Company's payroll, which Company may set in its sole and absolute discretion.

(B) Any and all loan covenants and restrictions imposed by the Company's financing source(s) ("Bank"). Consultant acknowledges that such loan covenants and restrictions may include, but are not limited to, net worth requirements, working capital requirements, cash flow ratios, and certain other cash flow and principal repayment covenants required by the Bank.

(C) Cash reserves adequate, in the Company's discretion, to meet all Company's cash requirements.

5.3 Payment Terms. Consultant acknowledges that the fees provided for hereunder shall constitute the sole and exclusive consideration for Consultant's services to Company, regardless of the capacity in which Consultant may be affiliated with Company. It is specifically agreed all payments hereunder are fees for independent contractor services, and Consultant agrees to indemnify Company from and against all taxes or related withholding liabilities which may be imposed on Company by any recharacterization of the payments hereunder as salary or any other form of employment benefit which will be subject to employment taxes payable by Company.

**6. CONSULTANT'S EXPENSES.**

The Company shall reimburse the Consultant for all reasonable costs incurred in connection with the Services rendered.

**7. INDEMNIFICATION.**

Company shall indemnify and hold Consultant free and harmless from and against any and all liabilities, losses, damages, claims, actions or causes of action which may or might result, directly or indirectly, from Consultant's provision of services to Company under this Agreement, except for any such liabilities, losses, damages, claims, actions or causes of action resulting from Consultant's intentional misconduct.

**8. ACTS OF GOD.**

Consultant shall not be deemed to be in violation of this Agreement if it is prevented from performing any of its obligations hereunder for any reason beyond its control, including without limitation, Acts of God or public enemy, elements, flood, strikes or statutory regulation or rule of the Federal or any State or local government or any agency thereof.

**9. ENTIRE AGREEMENT.**

9.1 Sole Agreement. This Agreement (including any attachments and exhibits hereto) contains the parties' sole and entire agreement regarding the subject matter hereof and supersedes any and all other agreements between them.

9.2 No Other Representations. The parties acknowledge and agree that no party has made any representations (a) concerning the subject matter hereof, or (b) inducing the other party to execute and deliver this Agreement, except those representations specifically referenced herein. The parties have relied on their own judgment in entering into this Agreement and have had the opportunity to consult with and have consulted with their own legal, tax and financial advisors as they have deemed prudent.

9.3 No Reliance. The parties further acknowledge that any statements or representations not set forth herein that may have been made by either of them to the other are void and of no effect. No party has relied on any such statements or representations in dealing with the other(s).

**10. NO MODIFICATIONS OR WAIVERS.**

10.1 Must Be Written. Waivers or modifications of this Agreement, or of any covenant, condition, or limitation contained herein, are valid only if in writing that is separately signed or initialed by the parties.

10.2 No Use As Evidence. One or more waivers or modifications of any covenant, term or condition in this Agreement by any party shall not be construed by any other party as a waiver or modification applicable to any subsequent breach of the same covenant, term or condition. Evidence of any such waiver or modification may not be offered or received in evidence in any proceeding, arbitration, or litigation between the parties arising out of or affecting this Agreement, or a party's rights or obligations under it. This limitation does not apply if the waiver or modification is in writing and duly executed as provided above.

**11. JOINT PREPARATION.**

The parties to this Agreement have been represented by competent counsel. This Agreement is therefore deemed to have been jointly prepared by the parties, and any uncertainty or ambiguity existing in it shall not be interpreted against any party under the presumptions of California Civil Code Section 1654, but rather shall be interpreted according to the rules generally governing the interpretation of contracts.

**12. COOPERATION AND FURTHER ACTIONS.**

The parties agree to perform any and all acts and to execute and deliver any and all documents necessary or convenient to carry out the terms of this Agreement.

**13. PROFESSIONAL FEES.**

If a lawsuit, arbitration or other proceedings are instituted by any party to enforce any of the terms or conditions of this Agreement against any other party hereto, the prevailing party in such litigation, arbitration or proceedings shall be entitled, as an additional item of damages, to such reasonable attorneys' and other professional fees and costs, (including but not limited to witness fees), court costs, arbitrators' fees, arbitration administrative fees, travel expenses, and other out-of-pocket expenses or costs of such other proceedings, as may be fixed by any court of competent

jurisdiction, arbitrator or other judicial or quasi-judicial body having jurisdiction thereof, whether or not such litigation or proceedings proceed to a final judgment or award. For the purposes of this Section, any party receiving an arbitration award or a judgment for damages or other amounts shall be deemed to be the prevailing party, regardless of amount of the damage awarded or whether the award or judgment was based on all or some of such party's claims or causes of action.

**14. COUNTERPARTS.**

This Agreement may be executed in several counterparts, each of which so executed shall be deemed to be an original, but such counterparts shall together constitute and be one and the same instrument.

**15. SEVERABILITY.**

If any part, clause, or condition of this Agreement is held to be partially or wholly invalid, unenforceable, or inoperative for any reason whatsoever, such shall not affect any other provision or portion hereof, which shall continue to be effective as though such invalid, inoperative, or unenforceable part, clause or condition had not been made.

**16. BINDING UPON SUCCESSORS.**

This Agreement shall be binding upon and inure to the benefit of the parties hereto and their respective heirs, legal representatives, successors and assigns, and shall survive any merger or reorganization, even if a party hereto is not the survivor of same.

**17. GOVERNING LAW AND VENUE.**

All questions concerning this Agreement, its construction, and the rights and liabilities of the parties hereto shall be interpreted and enforced in accordance with the laws of the State of California as applied to contracts which are executed and performed entirely within the state. For purposes of this Agreement, sole and proper venue shall be the City of Los Angeles, State of California.

**18. INTERPRETATION.**

18.1 Paragraph Headings. The paragraph headings of this Agreement are included for purposes of convenience only, and shall not affect the construction or interpretation of any of its provisions.

18.2 Capitalized Terms. Except as otherwise expressly provided herein, all capitalized terms defined in this Agreement shall have the meaning ascribed to them herein.

18.3 Gender and Number. Whenever required by the context, the singular shall include the plural, the plural shall include the singular, and the masculine gender shall include the neuter and feminine genders and vice versa.

**19. FACSIMILE NOTICES.**

For purposes hereof, delivery of written notice shall be complete upon receipt of electronic facsimile, provided that any facsimile notice shall only be deemed received if (a) the transmission thereof is confirmed, and (b) facsimile notice is followed by written notice, made either by (i) personal delivery thereof, or (ii) via deposit in certified mail return receipt requested, postage prepaid, within three (3) business days following the facsimile notice. Notices shall be addressed to the parties as follows:

Consultant:

Name: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone No.: \_\_\_\_\_

Facsimile No.: \_\_\_\_\_

E-Mail: \_\_\_\_\_

Company:

**COAST 2 COAST FUNDING GROUP, INC.**

1 Orchard Rd. Ste. 235

Lake Forest, CA 92630

Telephone No.: (949) 273-8990

Facsimile No.: (949) 313-1819

With a required copy to  
Attorney:

Telephone No.: ( )

Facsimile No.: ( )

Notice shall be deemed given on the date it is sent via facsimile. Any party may change the address to which to send notices by notifying the other party of such changes in writing in accordance with this paragraph.

**20. RELATIONSHIP CREATED.**

Nothing contained herein or in any schedule, attachment, or exhibit hereto shall create any partnership, joint venture or other agreement between the parties hereto.

**21. THIRD PARTY BENEFICIARIES.**

Except as provided herein, no term or provision of this Agreement is intended to be, or shall be, for the benefit of any person, firm, organization, or corporation not a party hereto, and no such other person, firm, organization or corporation shall have any right or cause of action hereunder.

The parties have executed this Agreement as of the day and year first above written at Lake Forest, California.

**"Consultant"**

By: \_\_\_\_\_  
Name: \_\_\_\_\_

**"Company"**

**COAST 2 COAST FUNDING GROUP,  
INC., a California corporation**

\_\_\_\_\_  
By:  
Its:



## 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.

Name (as shown on your income tax return)	
Business name, if different from above	
Check appropriate box: <input type="checkbox"/> Individual/ Sole proprietor <input type="checkbox"/> Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Other ▶ .....	
<input type="checkbox"/> Exempt from backup withholding	
Address (number, street, and apt. or suite no.)	Requester's name and address (optional)
City, state, and ZIP code	
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 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.

Social security number

or

Employer identification number

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

### 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. person (including a U.S. resident alien).

**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 4.)

**Sign Here**

Signature of U.S. person ▶

Date ▶

### Purpose of Form

A person who is required to file an information return with the IRS, must obtain your correct taxpayer identification number (TIN) to report, for example, income paid to you, real estate transactions, mortgage interest you paid, acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA.

**U.S. person.** Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN to the person requesting it (the requester) and, when applicable, to:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee.

In 3 above, 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.

**Note.** If 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.

For federal tax purposes, you are considered a person if you are:

- An individual who is a citizen or resident of the United States,
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States, or
- Any estate (other than a foreign estate) or trust. See Regulations sections 301.7701-6(a) and 7(a) for additional information.

**Special rules for partnerships.** Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax on any foreign partners' share of income from such business. Further, in certain cases where a Form W-9 has not been received, a partnership is required to presume that a partner is a foreign person, and pay the 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 withholding on your share of partnership income.

The person who gives 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 is in the following cases:

- The U.S. owner of a disregarded entity and not the entity,

- The U.S. grantor or other owner of a grantor trust and not the trust, and
- The U.S. trust (other than a grantor trust) and not the beneficiaries of the trust.

**Foreign person.** If you are a foreign person, do not use Form W-9. Instead, use the appropriate Form W-8 (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 recipient 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 not subject to backup withholding, give the requester the appropriate completed Form W-8.

**What is backup withholding?** Persons making certain payments to you must under certain conditions withhold and pay to the IRS 28% of such payments (after December 31, 2002). This is called “backup withholding.” Payments that may be subject to backup withholding include interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, 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 4 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 the instructions below and the separate Instructions for the Requester of Form W-9.

Also see *Special rules regarding partnerships* on page 1.

## 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

### Name

If you are an individual, you must generally enter the name shown on your income tax return. However, if you have changed your last name, for instance, due to marriage without informing the Social Security Administration of the name change, enter your first name, the last name shown on your social security card, and your new last name.

If the account is in joint names, list first, and then circle, the name of the person or entity whose number you entered in Part I of the form.

**Sole proprietor.** Enter your individual name as shown on your income tax return on the “Name” line. You may enter your business, trade, or “doing business as (DBA)” name on the “Business name” line.

**Limited liability company (LLC).** If you are a single-member LLC (including a foreign LLC with a domestic owner) that is disregarded as an entity separate from its owner under Treasury regulations section 301.7701-3, enter the owner’s name on the “Name” line. Enter the LLC’s name on the “Business name” line. Check the appropriate box for your filing status (sole proprietor, corporation, etc.), then check the box for “Other” and enter “LLC” in the space provided.

**Other entities.** Enter your business name as shown on required federal tax documents on the “Name” line. 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 the “Business name” line.

**Note.** You are requested to check the appropriate box for your status (individual/sole proprietor, corporation, etc.).

### Exempt From Backup Withholding

If you are exempt, enter your name as described above and check the appropriate box for your status, then check the “Exempt from backup withholding” box in the line following the business name, sign and date the form.

Generally, individuals (including sole proprietors) are not exempt from backup withholding. Corporations are exempt from backup withholding for certain payments, such as interest and dividends.

**Note.** If you are exempt from backup withholding, you should still complete this form to avoid possible erroneous backup withholding.

**Exempt payees.** Backup withholding is not required on any payments made to the following payees:

1. An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2),
2. The United States or any of its agencies or instrumentalities,
3. A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities,
4. A foreign government or any of its political subdivisions, agencies, or instrumentalities, or
5. An international organization or any of its agencies or instrumentalities.

Other payees that may be exempt from backup withholding include:

6. A corporation,
7. A foreign central bank of issue,
8. A dealer in securities or commodities required to register in the United States, the District of Columbia, or a possession of the United States,
9. A futures commission merchant registered with the Commodity Futures Trading Commission,
10. A real estate investment trust,
11. An entity registered at all times during the tax year under the Investment Company Act of 1940,
12. A common trust fund operated by a bank under section 584(a),
13. A financial institution,
14. A middleman known in the investment community as a nominee or custodian, or
15. A trust exempt from tax under section 664 or described in section 4947.

The chart below shows types of payments that may be exempt from backup withholding. The chart applies to the exempt recipients listed above, 1 through 15.

IF the payment is for . . .	THEN the payment is exempt for . . .
Interest and dividend payments	All exempt recipients except for 9
Broker transactions	Exempt recipients 1 through 13. Also, a person registered under the Investment Advisers Act of 1940 who regularly acts as a broker
Barter exchange transactions and patronage dividends	Exempt recipients 1 through 5
Payments over \$600 required to be reported and direct sales over \$5,000 <sup>1</sup>	Generally, exempt recipients 1 through 7 <sup>2</sup>

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

<sup>2</sup> However, the following payments made to a corporation (including gross proceeds paid to an attorney under section 6045(f), even if the attorney is a corporation) and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees; and payments for services paid by a federal executive agency.

## 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-owner LLC that is disregarded as an entity separate from its owner (see *Limited liability company (LLC)* on page 2), enter your SSN (or EIN, if you have one). If the LLC is a corporation, partnership, etc., 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 Social Security Administration office or get this form online at [www.socialsecurity.gov](http://www.socialsecurity.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 ID Numbers under Related Topics. You can get Forms W-7 and SS-4 from the IRS by visiting [www.irs.gov](http://www.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, write "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

**Note.** Writing "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

**Caution:** A disregarded domestic 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, and 5 below indicate otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). Exempt recipients, see *Exempt From Backup Withholding* on page 2.

**Signature requirements.** Complete the certification as indicated in 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 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)	The grantor-trustee <sup>1</sup>
b. So-called trust account that is not a legal or valid trust under state law	The actual owner <sup>1</sup>
5. Sole proprietorship or single-owner LLC	The owner <sup>3</sup>
For this type of account:	Give name and EIN of:
6. Sole proprietorship or single-owner LLC	The owner <sup>3</sup>
7. A valid trust, estate, or pension trust	Legal entity <sup>4</sup>
8. Corporate or LLC electing corporate status on Form 8832	The corporation
9. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
10. Partnership or multi-member LLC	The partnership
11. A broker or registered nominee	The broker or nominee
12. 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

<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 second name line. You may use either your SSN or EIN (if you have one). If you are a sole proprietor, IRS encourages you to use your SSN.

<sup>4</sup> List first and circle the name of the legal 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 regarding partnerships* on page 1.

**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.

## Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons who must file information returns with the IRS to report interest, dividends, and certain other income paid to you, mortgage interest you paid, the acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA, or Archer MSA or HSA. The IRS uses the numbers for identification purposes and to help verify the accuracy of your tax return. The IRS may also provide this information to the Department of Justice for civil and criminal litigation, and to cities, states, the District of Columbia, and U.S. possessions to carry out their tax laws. We may also disclose this information to other countries under a tax treaty, to federal and state agencies to enforce federal nontax 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. Payers must generally withhold 28% of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to a payer. Certain penalties may also apply.



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## Broker Approval Deposit

Broker approval for 3<sup>rd</sup> party consultants requires an initial deposit of \$995.00.

*This deposit is refunded to the broker of record upon successful completion of their first transaction. This amount will be combined with the compensation for the corresponding transaction.*

**\*\*Payment must be made by broker of record\*\***

Card Type: \_\_\_\_\_ (Visa, MasterCard, Discover, American Express)

Credit Card Number: \_\_\_\_\_

CCVC: \_\_\_\_\_

Expiration Date Month/Year: \_\_\_\_ / \_\_\_\_

Card Holder Name (as appears on card): \_\_\_\_\_

Billing Address: \_\_\_\_\_

City / State / Zip Code: \_\_\_\_\_, \_\_\_\_\_ - \_\_\_\_\_

Billing Telephone Number: \_\_\_\_\_

Signature of Card Holder: x \_\_\_\_\_

**Amount authorized to charge: \$ 995.00**

Please include a copy (front and back) of the credit card and a copy (front and back) of a **PHOTO** ID of the cardholder. Cardholder's signature must be on both documents (Credit Card & **PHOTO** ID).