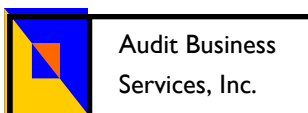


COMPLIANCE LOGBOOK TY2017

1. TY 2016 Statement Mailing Procedures and Proof Mailing
2. TY 2016 Return Filing Procedures and Proof of Filing
3. TY 2017 Form W-9 Initial Solicitation Procedures and Sample Form
4. Spring B-Notices CP2100 for TY 2015
5. Annotated Listing of Spring B-Notices Showing Research Results
6. Fall B-Notices CP2100 for TY 2016
7. Annotated Listing of Fall B-Notices Showing Research Results
8. Proposed Penalty Assessment Notice (972 CG for FY 2015 (\$50 Penalties)
9. Annual Solicitation for Missing or Incorrect TINs (Other than B-Notices)
10. Training Log
11. List of Companies for Which Information Reporting is Performed
12. Memos and Correspondence

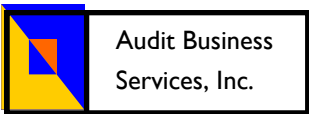


TY 2016 Form W-9 Initial Solicitation Procedures and Sample Form 3

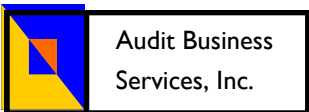
In this section describe the specific steps and work flow for performing an initial solicitation for a taxpayer's TIN.

Include:

- **Who** performs the solicitation.
- **What work flow process** is the TIN solicitation a part of.
- **Describe under what conditions you accept TIN information**—by phone, fax, or other electronic means—and how that information is recorded on a Form W-9.
- **Describe the review process** to verify that the information provided is acceptable, and what triggers rejection and re-solicitation of a submitted Form W-9.
- **Describe under what conditions you indicate that a taxpayer is exempt** under the “eyeball” test.
- **Identify where Forms W-9 are stored**, and in what sequence they are filed.



Insert W-9 form used here.



Insert instructions for Form W-9 here.

