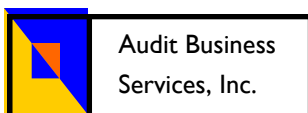


COMPLIANCE LOGBOOK TY2017

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

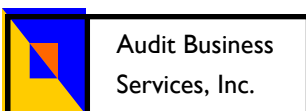


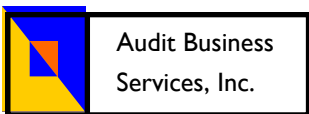
Annual Solicitation for Missing or Incorrect TINs (Other than B-Notice) 9

In this section describe the specific steps and work flow for your annual solicitations. If your policy is to require a TIN before a payment is made there are no missing TIN accounts for which you need to do a solicitation. However, if you did not send a B-Notice letter to a taxpayer who is a fiduciary or nominee, you need to do a year-end “annual” solicitation by December 31. Also, if your Notice 972CG listing of incorrect TINs included accounts not found on either of your B-Notice listings, you must perform a year-end “annual” solicitation by December 31.

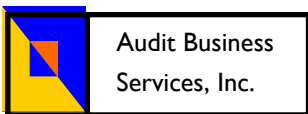
Include:

- A statement that there are no accounts that receive Form 1099 reportable payments for which you did not obtain a TIN in response to an initial solicitation, so there are no “annual” solicitations required for missing TIN accounts.
- A listing of fiduciary or nominee accounts that appeared on either the spring or fall B-Notice listing for which you are now performing an “annual” solicitation, or a statement that there are no such accounts.
- A comparison between the incorrect TINs on the spring and fall B-Notice listings and the incorrect TINs that appeared only on the Proposed Penalty listing and not on either of the B-Notice listings, or a statement that no such additional incorrect TIN accounts exist, perhaps because you did not receive a Proposed Penalty list of incorrect TINs.
- Samples of the “annual” solicitation, showing
 - Envelope (stating “Important Tax Information Enclosed”)
 - Return envelope (the return envelope does not have to be postage paid)
 - Cover letter requesting a new Form W-9 to be completed
 - Form W-9





Insert W-9 here



Insert W-9 instructions here

