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INVITATION TO BID
THE KENTON COUNTY SCHOOL DISTRICT
1055 Eaton Drive
Fort Wright, Kentucky 41017
859/344-8888
859/344-1531 (fax #)

CLASS RINGS & GRADUATION SUNDRIES

The Kenton County School District (hereinafter called The Board of Education) will receive sealed bids for the items and/or services listed herein. You are invited to submit a sealed bid, subject to the terms and conditions of this invitation to bid. Please read all the instructions and specifications carefully. **Failure to comply with these instructions shall disqualify your bid.**

Bids shall be mailed or delivered to David Lloyd, Facility Systems Director, The Kenton County School District, 1055 Eaton Drive, Fort Wright, Kentucky 41017, in a **sealed envelope marked “CLASS RINGS & GRADUATION SUNDRIES” in the lower left hand corner.**

Copies of this invitation may be obtained in the Purchasing Department, at the above address, between 8:00 a.m. and 4:00 p.m., Monday-Friday, prior to the time & date specified for bid opening.

**PERIOD OF CONTRACT**
The period of the contract will be from July 1, 2016 through June 30, 2017. If agreed upon by both parties in May of each year, the agreement may be extended annually up to two additional annual renewals. Prices may be negotiated in May of each year, but may not exceed the percentage change of the Consumer Price Index annualized (from monthly percentage changes) as published on the Bureau of Labor Statistics web site (excludes rings). [http://stats.bls.gov/cpi/home.htm](http://stats.bls.gov/cpi/home.htm) The price of class rings may be negotiated at the beginning of each contract period (if both parties agree to the annual extension per the bid) but may not exceed the percentage change of the price of gold per ounce published on the following web-site; [http://www.kitco.com/](http://www.kitco.com/)
The published closing price on 07/01/16 shall be used as the base price for future price negotiations.

**TIME OF BID OPENING**
Bids will be opened at **2:00 p.m. on Thursday, May 19, 2016.** All bids must be received by the time designated in this invitation and none will be considered thereafter. **Failure to have bid in official bid box prior to the bid opening will automatically prevent the reading of your bid.**

The Board of Education cannot assume the responsibility for any delay as a result of failure of the mails to deliver bids on time.

**LOCATION OF BID OPENING**
Bids will be opened and read in the bid department, The Kenton County School District, 1055 Eaton Drive, Fort Wright, Kentucky 41017. You are invited to be present at the bid opening.

**BID AWARD:**
Contract(s) may be awarded to the lowest and/or best evaluated bidder(s) meeting all specifications and conditions, and subject to all other provisions of this invitation to bid, on a per item basis, on a group basis, or on a total basis, whichever is deemed to be in the best interest of The Board of Education. Bids shall be awarded at the regular board meeting held on June 6, 2016.
“PROHIBITION AGAINST CONFLICT OF INTEREST, GRATUITIES AND KICKBACKS”

ANY EMPLOYEE OR ANY OFFICIAL OF THE BOARD OF EDUCATION OF KENTON COUNTY, KENTUCKY ELECTIVE OR APPOINTIVE, WHO SHALL TAKE, RECEIVE, OR OFFER TO TAKE OR RECEIVE, EITHER DIRECTLY OR INDIRECTLY, ANY REBATE, PERCENTAGE OF CONTRACT, MONEY, OR OTHER THINGS OF VALUE, AS IN INDUCEMENT OR INTENDED INDUCEMENT, IN THE PROCUREMENT OF BUSINESS, OR THE GIVING OF BUSINESS, FOR OR TO, OR FROM, ANY PERSON, PARTNERSHIP, FIRM OR CORPORATION, OFFERING BIDDING FOR, OR IN OPEN MARKET SEEKING TO MAKE SALES TO THE BOARD OF EDUCATION OF KENTON COUNTY, KENTUCKY SHALL BE DEEMED GUILTY OF A FELONY AND UPON CONVICTION SUCH PERSON OR PERSONS SHALL BE PUNISHED BY A FINE NOT TO EXCEED FIVE THOUSAND DOLLARS ($5000) OR BY IMPRISONMENT IN THE PENITENTIARY FOR NOT LESS THAN ONE (1) YEAR NOR MORE THAN TEN (10) YEARS, OR BOTH SO FINED AND IMPRISONED IN THE DISCRETION OF THE JURY.

EVERY PERSON, FIRM, OR CORPORATION OFFERING TO MAKE, OR PAY, OR GIVE, ANY REBATE, PERCENTAGE OF CONTRACT, MONEY OR ANY OTHER THING OF VALUE, AS IN INDUCEMENT, OR INTENDED INDUCEMENT, IN THE PROCUREMENT OF BUSINESS, OR THE GIVING OF BUSINESS, TO ANY EMPLOYEE OR TO ANY OFFICIAL OF THE BOARD OF EDUCATION OF KENTON COUNTY, KENTUCKY, ELECTIVE OR APPOINTIVE, IN HIS EFFORTS TO BID FOR, OR OFFER FOR SALE, OR TO SEEK IN THE OPEN MARKET, SHALL BE DEEMED GUILTY OF A FELONY AND SHALL BE PUNISHED BY A FINE NOT TO EXCEED FIVE THOUSAND DOLLARS ($5000) OR BY IMPRISONMENT IN THE PENITENTIARY FOR NOT LESS THAN ONE (1) YEAR NOR MORE THAN TEN (10) YEARS, OR BOTH SO FINED AND IMPRISONED IN THE DISCRETION OF THE JURY.

NOTE: IT IS A MISDEMEANOR NOT TO HAVE THIS PROHIBITION ON EVERY SOLICITATION OR CONTRACT DOCUMENT. THE PENALTY IS A $5000 FINE OR ONE (1) YEAR IMPRISONMENT OR BOTH ON CONVICTION.
A. ACCEPTANCE OF BIDS
The Board of Education reserves the right to accept any bid, to reject any or all bids, to waive any irregularities or informalities in bids received where such acceptance, rejection or waiver is considered to be in its best interest. The Board of Education also reserves the right to reject any bid where evidence or information submitted by the bidder does not provide satisfactory proof that the bidder is qualified to carry out the details of the contract.

B. BID DOCUMENTS
Bid forms are provided with this “Invitation to Bid”. All Proposals shall be submitted on the “Bid Form”.

C. SPECIFICATIONS
Specifications are attached and are a part of this proposal. All materials or services furnished must be in conformity with the specifications and will be subject to inspection and approval of the Purchasing Agent after delivery. The right is reserved to reject and return at the risk and expense of the supplier, any item that may be defective or fail to comply with these specifications.

It is important that each person submitting a bid follow carefully the specifications detailed herewith. The bidder is instructed to complete all blanks and spaces where information concerning any item is requested. Only items meeting the requirements are to be quoted on the regular bid form.

The Board of Education reserves the right to waive compliance of any material or services with any particular specification where such waiver is considered to be in its best interest, including but not limited to cases where such waiver is necessary due to technical errors or inconsistencies in the preparation of such specifications.

D. MODEL PROCUREMENT REGULATIONS
The Model Procurement Regulations adopted by the Board of Education shall be deemed incorporated by reference in these specifications as though fully quoted herein. In the event of any conflict between this invitation to bid and the Model Procurement Regulations, the Regulations shall control.

E. PERFORMANCE BOND
The Board of Education reserves the right to determine the ability of any bidder to perform the work and any bidder shall, upon request, furnish such information as may be necessary to determine such ability, including performance bond, if requested.

F. EXCUSE FOR NON-PERFORMANCE
The successful vendor(s) shall be excused from performing hereunder during the time and to the extent that they are prevented from obtaining, delivering, or performing in the customary way because of fire, strike, partial or total interruption of, loss or shortage of transportation facilities, lockout, commandeering of raw materials, products, plants or facilities by the government when satisfactory evidence thereof is presented to the other party, providing it is satisfactorily established that the non-performance is not due to the fault of negligence of the party not performing.
G. **PENALTIES**
   In case of default by the vendor, the Board of Education may procure the articles or services from other sources and may deduct from any unpaid balance due the vendor the amount of the excess cost so paid, and the price paid shall be considered the prevailing market price at the time such purchase is made.

H. **TAXES**
   Kenton County School's tax exempt status applies in accordance with revenue policy 51P370 P370 revised 060183 and in accordance with 103 KAR 26:070. A state sales tax exempt certificate upon request shall be provided to the awarded bidder.

I. **PRODUCT EVALUATION**
   Items will be disqualified that do not meet specifications or the accepted equal. If a product is purchased and it is later established that said product fails to comply with these specifications and conditions, the item will be rejected and returned to the supplier at the supplier’s expense. No item shall be considered satisfactory that does not conform to our usual accepted methods, use, application, storage, handling and delivery. The decision concerning the satisfactory use and performance of any item on this bid shall be that of the Educational and Business Staff of the Board of Education.

J. **BRAND NAMES**
   The brand or trade name, manufacturer’s name, and/or catalog number must be listed in the column provided. If bidder fails to indicate brand or trade name, where requested, the item and bid may be disqualified.

K. **NON-DISCRIMINATION**
   During the performance of this Contract, the Seller agrees as follows:

   The Seller shall not discriminate against any employee, applicant, or subcontractor because of age, color, creed, handicap condition, marital or parental status, national origin, race, sex, veteran status, or political opinion or affiliation. The Seller shall take affirmative action to ensure that applicants are employed without regard to their age, color, creed, handicap condition, marital or parental status, national origin, race, sex, veteran status, or political opinion or affiliation. Such action shall include, although not limited to the following: employment, upgrading, demotion or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. The Seller agrees to post in conspicuous place notices setting forth the provisions of the Equal Opportunity clause.

   The Seller shall in all solicitations and/or advertisements for employees placed by or on behalf of the Seller state that all qualified applications shall receive consideration for employment with regard to age, color, creed, handicap condition, marital or parental status, national origin, race, sex, veteran status, or political opinion or affiliation.

   The Seller shall cause any subcontractor engaged to perform any services required by this Contract to include this Equal Opportunity clause in all solicitations, advertisements and employment practices it shall perform.

L. **DELIVERY**
   The Contractor agrees to furnish and deliver the items within the terms of the contract as the Purchasing Agent may prescribe.
All costs for delivery, including drayage and freight, and for the packaging of said articles are
to be borne by the bidder, and must be included in your bid prices.

If during the period of the contract, it is necessary that the Purchasing Agent place toll or long
distance telephone calls in connection therewith (for complaints, adjustment, shortages,
failures to deliver, etc.) it is understood that the vendor will bear the charge of expense for all
such calls.

M. **SAMPLES AND/OR DESCRIPTIVE LITERATURE**
Samples may be required to assist in making decisions for awarding of contracts. The
samples must be furnished by the time and date specified for bid opening. Failure to furnish
samples may disqualify any bid.

Samples shall be representative of items on which the bid is submitted and will be checked
as deemed necessary by the Board of Education for compliance with specifications outlined
herein. Samples are to be properly marked for identification and they must indicate the
supplier’s name and the corresponding item number as shown in the invitation to bid. Samples are to be mailed or delivered to David Lloyd, Purchasing Director, Kenton County
Board of Education, 1055 Eaton Drive, Fort Wright, Kentucky 41017.

If samples are required, and they are not claimed, the samples will become the property of
the Board of Education.

All samples are to be furnished without cost to the Board of Education with the right reserved
to mutilate, consume or destroy such samples if considered necessary for testing purposes.

N. **K.O.S.H.A. STANDARDS AND HAZARD COMMUNICATION STANDARD 1910.1200**
If applicable, all materials and services must meet or exceed K.O.S.H.A. (Kentucky
Occupations & Safety Health Act) Standards, and must comply with the Hazard
Communications Standard 190.1200 of the Occupational Safety & Health Administration.

O. **BIDS**
Businesses that fail to respond to invitations for bid or notices of availability on two (2)
consecutive procurements of similar items may be removed from the applicable bidder
mailing list.

The Purchasing Department will make tabulations and each qualified bidder will be mailed a
formal tabulation after the Board of Education has taken official action. The Board of
Education meetings are normally held on the third Monday of each month. Bidders are
requested not to call the Purchasing Office for a tabulation of the bids.

Any bids received after scheduled time of opening will be returned unopened to the bidder.

Each bid must be in a separate sealed envelope with the bid name appearing in the lower
left-hand corner of the envelope.

No bid can be corrected or altered or signed after being opened. The Board of Education
shall not be responsible for errors or omissions on the part of bidders in the creation of their
bids. Any bids received unsigned shall be rejected.
All regular bids must be submitted in accordance with specifications on the bid form supplied with this invitation. The submission of a bid on the bid form certifies that the product meets any and all specifications except as noted on such form.

P. **PRICES**
All prices quoted by the various bidders must be firm for a maximum period of sixty (60) days to allow acceptance by the Board of Education. If awarded the contract, the prices shall then be firm for the time period that is indicated under “Period of Contract”.

All prices and quotations must be in ink or typewritten. No pencil figures will be permitted. Mistakes are to be crossed out with correction inserted adjacent thereto and initialed by person signing the bid. Also, corrections made with correction tape or fluid are to be initialed.

Quote on each item separately. Prices must be stated in units specified herein.

Bids that have clerical errors or irregularities are subject to correction only with concurrence with the Purchasing Agent. Unit prices should be listed, extended, and totaled. Should errors exist in the extended price, the unit price will prevail.

Q. **OR EQUAL CLAUSE**
Whenever, in any of the contract documents, an article, materials or equipment are described by use of a proprietary product or by using the name of a manufacturer or vendor, the term “or equal”, if not inserted, is implied.

The use of a specific article or manufacturer’s name shall be construed as an indication of the type of equipment, design, general construction, quality and finish. Such use shall not be construed as limiting or excluding any manufacturer’s product of comparable quality, design and efficiency.

R. **DESCRIPTIVE LITERATURE AND/OR MANUFACTURER’S SPECIFICATIONS**
The Board of Education reserves the right to waive any discrepancies or inconsistencies between the submitted manufacturer’s descriptive literature and/or specifications and the requirements of this invitation to bid, if; (1) the bidder actually submits a sample which conforms to all material requirements of this invitation to bid; or (2) the bidder certifies to the Board of Education that the bidder can actually supply products which conform to all material requirements of this invitation to bid.

NOTE: Descriptive literature and/or manufacturer’s specifications should not be submitted unless expressly requested.

S. **SUBSTITUTIONS:**
If during the period of the contract, a vendor finds it necessary to make substitutions, they must obtain prior approval from David Lloyd, Purchasing Director.

T. **REQUIREMENTS**
All deliveries must be complete within sixty (60) days from receipt of purchase order unless otherwise stated in the bid specifications and conditions. The vendor must furnish invoices as follows:

One (1) copy to the warehouse with material at time of delivery
Two (2) copies of invoice (original and one copy) to the Accounts Payable Department along with a signed delivery receipt as proof of delivery.

No more than one (1) back order or partial delivery may be allowed on these items, unless otherwise stated herein. Ship complete within sixty (60) days or cancel.

All deliveries must be made to the location indicated on the purchase order and signed for by a responsible Board Official. Signatures of custodial or maintenance personnel are not acceptable.

All invoices must show the purchase order number, date of delivery, name of location and list of items delivered by item name.

U. OTHER CONDITIONS
All blanks and information requested are to be completed on the Bid Form in order to qualify your bid.

The Board of Education reserves the right to make multiple awards to two or more companies on the same item where more than one standard of quality is desired.

Do not bid any special groupings other than those listed herein.

V. HOLD HARMLESS
Vendor agrees to indemnify and save The Kenton County School District harmless from claims for death or injury to Vendor’s personnel arising while such personnel are on premises owned or controlled by The Kenton County School District in connection with the performance of this order, and Vendor shall maintain Worker’s Compensation Insurance and Employees Liability Insurance in the minimum amount of one hundred thousand ($100,000) dollars (unless otherwise specified within contract) covering all such personnel while on Kenton County School’s premises.

W. CRIMINAL HISTORY VERIFICATION
The successful bidder certifies that a criminal history background check has been performed on all employees that may come into contact with Kenton County Schools Students. Please note that any employees with the following offenses will not be permitted to have any contact with our students: Sex-related offense convictions; Convictions against minors; Felony offense convictions against persons or property; Alcohol violation convictions within two (2) years from date of check, and no more than two (2) such offense convictions in total; Drug related offense convictions; Deadly weapon-related offense convictions; A pattern of irresponsible behavior, based upon the background check.

X. GOVERNING LAW
The validity, performance, construction, interpretation and effect of any/all purchases shall be governed by the laws of the State of Kentucky. The Kenton County School District operates within Kentucky Model Procurement Code Chapter 45A which applies to any/all purchases. The Kenton County School District and the Vendor shall agree to submit themselves to the exclusive jurisdiction of the courts located within Kenton County, Kentucky in connection with any cause of action arising from any/all purchases.
Y. **LEGAL AND CONTRACTUAL REMEDIES**

Any actual or prospective bidder, offeror or contractor who is aggrieved in connection with the solicitation of an award of a contract may protest to the Purchasing Agent or the Superintendent, as the case shall require. The protest shall be submitted in writing, within fourteen (14) days after such aggrieved person knows, or should have known, of the facts giving rise thereto. Either the Purchasing Agent or the Superintendent, as the case may require, shall have the authority to settle and resolve a protest of any aggrieved bidder, offeror or contractor, actual or prospective, concerning the solicitation or award of a contract. The authority shall be exercised in accordance with these regulations and may be supplemented by regulations promulgated by the respective designee’s office.

If the protest is not resolved by mutual agreement, either the Purchasing Agent or the Superintendent shall promptly issue a decision in writing. The decision shall state the reason for the action taken, and inform the protestant of its right to administrative review.

A copy of the decision shall be mailed or otherwise furnished immediately to the protestant and any other party intervening. A decision shall be final and conclusive, unless modified pursuant to these regulations. In the event of a timely protest, the Board shall not proceed further with the solicitation or with the award of the contract until the Purchasing Agent and the Superintendent enter into consultation, and thereafter make a written determination that the award of the contract, without delay, is necessary to protect the substantial interest of the Board. In addition to any other relief, when a protest is sustained and the protesting bidder or offeror should have been awarded the contract under the solicitation but is not, then the protesting bidder or offeror shall be entitled to the reasonable costs incurred in connection with the solicitation, including the bid preparation costs, other than attorney’s fees or profit.

The decision of the Superintendent or his designee shall be final and conclusive, unless determined by a court of competent jurisdiction to have been fraudulent or clearly arbitrary and capricious or contrary to law.

Z. **CORRECTIVE ACTION REQUEST (C.A.R.)**

In the event that an incident may occur with a contracted vendor which is deemed to be unacceptable, The Kenton County School District may issue a Corrective Action Request (C.A.R.) to the vendor. Please refer to this policy on page 8 of Purchasing Procedures and Guidelines as published on the Kenton County Board of Education’s website: http://kenton:schoolpointesites.com/userfiles/909/file/Purchasing%20Procedures%202009.pdf.

AA. **RECIPROCAL PREFERENCE**

In accordance with 200 KAR 5:400 **ALL BIDDERS** must complete the attached “REQUIRED AFFIDAVIT FOR BIDDERS, OFFERORS AND CONTRACTORS CLAIMING RESIDENT BIDDER STATUS” and include this completed form with the bid submittal. If the non-resident bidder is from a state which gives a preference to its own resident bidders/vendors, but not to Kentucky vendors the Kentucky resident bidder gets a preference on the Kentucky bid opportunity equivalent to the preference given in the non-resident bidder’s home state to that state’s resident bidder.

BB. **I.R.S. W-9 FORM**

All Bidders responding to this Invitation to Bid shall submit a completed IRS W-9 Form along with their bid.
AWARDING OF CONTRACT(S)
Contracts may be awarded to the best evaluated bidder(s) meeting all specifications and conditions, and subject to all other provisions of this invitation to bid. Price shall be considered, but need not be the sole determining factor. Contracts will be awarded on a per item basis, on a group basis, or on a total basis; whichever is deemed to be in the best interest of The Kenton County School District. The Board of Education has the right to reject any and all bids if it is deemed in its best interest. In an attempt to minimize orders under $50.00, vendors who are the low bidder on one (1) or only several items with little chance of obtaining this dollar threshold will not be selected.

SCOPE OF CONTRACT
This is a “Requirements” contract to provide a ready source for the procurement of class rings and sundry graduation requirements, to include but not necessarily be limited to, Class Rings, Graduation Announcements and Accessories, Caps, Gowns, Hoods, Stoles, and Diplomas on an “as needed” basis for The Kenton County School District. Minimum specifications are identified.

QUANTITIES
The exact amount of items required will be governed by actual needs. Parents and/or students of The Kenton County School District will only be obligated, under this contract, to the extent of orders issued and materials received/ordered. The resultant contract(s) will be used as the primary source(s) for the requirements specified herein.

CONTRACT ADMINISTRATOR/TECHNICAL POINT OF CONTACT
The following employees of The Kenton County School District are identified to use all powers under the contract to enforce its faithful performance:

CONTRACT ADMINISTRATOR(S): As the Contract Administrator, the following individual(s), or his designee, shall serve as the interpreter of the conditions of the contract and shall use all powers under the contract to enforce its faithful performance:

   David Lloyd, Facility Systems Director, 859-344-7350, ext 145

TECHNICAL POINT OF CONTACT(S): The following individuals shall work directly with the Contractor on a daily basis in scheduling, coordinating, and providing general direction under the resulting contract:

   Dixie Heights High School, Mrs. Teresa Catchen, Secretary
   Scott High School, Mr. Shane Rogers, Assistant Principal
   Simon Kenton High School, Ms. Jamie Lawson, Secretary

PROPOSAL PREPARATION AND REQUIREMENTS
GENERAL REQUIREMENTS:

RFP Response: In order to be considered for selection, Bidders must submit a complete response to this RFP. One (1) original of each proposal shall be submitted to The Kenton County School District. No other distribution of the proposal shall be made by the Bidder.

Proposal Preparation: Proposals shall be signed by an authorized representative of the Bidder. All information requested must be submitted. Mandatory requirements are those required by law or regulation or are such that they cannot be waived and are not subject to negotiation.
THE KENTON COUNTY SCHOOL DISTRICT
CLASS RINGS AND GRADUATION SUNDRIES
SPECIAL CONDITIONS - Page 2 of 7

- Proposals shall be prepared simply and economically, providing a straightforward, concise description of capabilities to satisfy the requirements of the RFP. Emphasis shall be on completeness and clarity of content.
- Each copy of the proposal shall be bound or contained in a single volume where practical. All documentation submitted with the proposal should be contained in that single volume.
- Ownership of all data, materials and documentation originated and prepared for The Kenton County School District pursuant to the RFP shall belong exclusively to The Kenton County School District.
- All blanks and information requested are to be completed on the Bid Form(s) in order to qualify your bid. Do not bid any special grouping other than those listed herein.

SUMITTTALS, EVALUATION, AND AWARDING OF CONTRACT(S)
Proposals shall be as thorough and detailed as possible so that The Kenton County School District staff may properly evaluate the Bidder’s capabilities to provide the required services. Proposals must be submitted on 8 ½” x 11” paper, and prepared simply and concisely. Elaborate artwork, expensive paper, bindings, visual, and presentation aids are not required. Bidders are required to submit the following items as a complete proposal due at the date and time of the sealed bid opening:

1. The return of the “Bid Form”, signed and filled out as required.
2. Complete Reference Sheet & Bid Submittal Checklist, to include a minimum of three (3) school systems.
3. A written “Quality of Service” proposal (Maximum 3 Pages) see below for details.
4. Samples as indicated below:
   - Bidder shall provide a sample of each style of ring with the proposal. Each equivalent sample must be labeled indicating which Balfour equivalent ring is represented and include a specification sheet with a picture of each ring. Samples will be returned after award has been made, except for the Bidder(s) receiving the resulting contract award(s), whose ring samples may be retained by The Kenton County School District until completion of the contract. The samples of men’s large and women’s regular shall be gold rings and the samples of men’s regular and women’s miniature are to be an alternate metal to the gold. Any and all costs associated with the delivery of and return of the sample items shall be the responsibility of the respective bidder.
   - Bidder shall include a sample Cap, Gown, Tassel, Stole, Cord, Announcements (2 and 3 fold) w/Envelopes, Memory Book, Thank You Note, Envelope Seals, Class Key w/Chain, Name Cards, Diplomas, Certificate of Attendance, and Graduation Mug.
5. Signed and dated Conflict of Interest form.
6. Sample Order Form
7. Sample Catalog/Sample Packet of all merchandise/materials intended to be offered to The Kenton County School District to purchase.
8. Sample of End of Year Statement.
Contracts may be awarded to the best overall evaluated bidder meeting all specifications and conditions, and subject to all other provisions of this request for proposal. The Board of Education has the right to reject any and all proposals if it is deemed in its best interest. Bids will be evaluated based on the following criteria:

**Overall Cost (May be looked at on an individual school, items, and/or group basis)** \[70\%

**References** \[10\%

**Perceived Product Quality (Samples and Offerings)** \[10\%

**Perceived Overall Quality of Service (see below for detail)**
- (Employees (w/training, background), Appointment Availability, etc. \[10\%

Total \[100\%

**Overall Cost Calculation:**
The Overall Cost figure shall be arrived at by awarding the low bidder a score of 70 points. The other bidders shall be awarded a percentage of the total using the low priced bidder as the baseline.

i.e. Bidder A bids $100.
Bidder B bids $110.

Bidder A receives 70 points.
Bidder B receives points as follows: \[(1-((\text{Bid B}-\text{Bid A})/\text{Bid A})) \times 70\text{ points} = 63\text{ points}\]

**References:**
A list of three existing customer references shall be supplied with your bid. Each of these three references will be contacted and asked "Overall on a scale of 1-10 please rank this company". The three scores shall be averaged and this average will be the bidders score. If a bidder is greater than 10 points from the lead bidder, this bidder’s references shall not be contacted. Note: If the bidder is a current or past supplier to the board in the past five years - the board reserves the right to provide the sole score. This is the third step in the evaluative process.

**Perceived Quality of Samples:**
Board employee(s) will be asked to provide a subjective score from 0 – 10 based on the overall perceived quality of the samples and options (on announcements) provided from each bidder.

**Perceived Quality of Service:**
From a written service proposal (3-page maximum) supplied with this bid an overall score of 0-10 shall be awarded to each bidder. This score shall be subjective based upon the perceived level of service offered including objectives, program services and the scope of these services, implementation strategies including a timeline, on-line capabilities, how our account would be maintained, estimated number of visits per location and what would be accomplished per visit, employees assigned to our account including training & qualifications, procedures for late delivery, discounts and incentives, and normal Appointment Availability, etc.
SERVICE REQUIREMENTS

DELIVERY/DISTRIBUTION
1. All order distribution shall be conducted by the Contractor. Delivery of all materials shall be made in coordination with each individual school principal or his/her designee.
2. The Contractor shall have a minimum of 3 number of personnel to make delivery and distribution to the students at the school.

ORDERS/RETURNS:
1. All clerical and accounting procedures will be the responsibility of the Contractor. Order forms will be sequentially numbered. Each school must be provided an accounting of all class rings and graduation sundries ordered under this resulting contract with an itemized breakdown.
2. The Contractor shall provide a receipt to each student containing the company’s and student’s name, date, complete description (e.g. size, color, weight, etc…) and amount of monies received. This shall be provided to the student within two (2) weeks of the ordering date.
3. The Contractor shall take orders for at least two (2) consecutive days, and one (1) day for make-up orders, to be concluded by the date specified by the school principal. At least two (2) “Parent Nights” shall be an option for each school. It will be the decision of the individual school to arrange “Parent Nights”. Scheduling of all order taking must be arranged with each individual school. Orders shall be taken in sufficient time to allow for delivery to take place and have any discrepancies resolved.
4. The Contractor shall provide a minimum of two (2) trained personnel during the order taking sessions to assist in taking orders, sizes (if required), and answer questions.
5. The Contractor shall provide brochures explaining the cost and ordering procedures. Brochures (any/all printed materials) must be pre-approved by the Facility Systems Director as well as the Principal prior to distributing to students. All handling fees and shipping/delivery charges are to be included in the price, no extra charges shall be allowed. The brochures are to be distributed to the students at least two (2) weeks prior to the first day of ordering.
6. The Contractor may charge a nominal late charge for late orders placed after a mutually agreeable deadline. Cancellation charges may also be charged depending upon how far along the order is in the production process. All additional charges must be approved by the Purchasing Director of The Kenton County School District.
7. The Contractor shall provide gowns and hoods to each school’s faculty at no charge and/or loan gowns and hoods to the school at no charge. No more than ten (10) gowns and hoods shall be provided to each school per year.
8. Refunds shall be issued on any order that is not personalized. Refunds shall be granted upon the merit of student(s) not meeting graduation requirements. Graduation sundries shall be exchanged for a different school if student transfers to a different school after the order has been placed (e.g., a Scott student transfers to Dixie in March of their graduation year.)
9. The Contractor shall donate five (5) “Basic Packages” (cap, gown, tassel, and stole) to each school per year to cover underprivileged seniors.
10. The awarded vendor shall be responsible for the handling of all monies and product distribution including on-time and late orders. No school personnel shall have any role in the distribution of product and the collection of any/all monies for products under this agreement.
END OF YEAR STATEMENT(S): The Bidder shall provide a sample of proposed annual reports (an accounting of all class rings and graduation sundries) and all distribution ordering literature. The report shall include, but not be limited to the following in a Microsoft Excel format:

<table>
<thead>
<tr>
<th>STUDENT NAME</th>
<th>SCHOOL</th>
<th>ITEM P/N</th>
<th>ITEM DESCRIPTION</th>
<th>QUALITY / METAL</th>
<th>QUANTITY</th>
<th>UNIT PRICE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Susie Smith</td>
<td>Simon Kenton</td>
<td>55555</td>
<td><em>Lds standard class ring</em></td>
<td>10k yellow</td>
<td>1</td>
<td>$100.00</td>
</tr>
<tr>
<td>Susie Smith</td>
<td>Simon Kenton</td>
<td>77777</td>
<td><em>Bi-fold announcements</em></td>
<td>N/A</td>
<td>50</td>
<td>$50.00</td>
</tr>
</tbody>
</table>

CATALOG: All products offered to The Kenton County School District must be shown in the Bidder’s catalog. Prices shall be provided to The Kenton County School District along with the Bid by the sealed bid opening date on all such merchandise.

DISPUTES: Any dispute that may result from the sale, delivery, warranty, design, or for any reason involving the contract will be resolved by the Contract Administrator.

TELEPHONE NUMBER(S): The Contractor shall provide a local or a toll free telephone number of school account representative and plant representative that can be called by school staff, students, and parents. Failure to return calls resulting in complaints to The Kenton County School District Central Office shall be a direct violation of bid requirements.

PACKAGING AND MARKING: All graduation materials delivered to the student, by the Contractor, shall be individually packaged with the student’s name placed on the outside of the package.

LOST OR DAMAGED GOODS: The schools will not be held responsible for lost or damaged goods left by the Contractor.

CONTRACT AWARD DOCUMENT: The Kenton County School District will award a contract referencing all related documents corresponding to this solicitation. Under no circumstances will The Kenton County School District sign or execute any subsequent vendor form.

PROPOSAL ACCEPTANCE PERIOD: The proposal shall be binding upon the Bidder for a minimum of sixty (60) calendar days following the proposal receipt and opening date. Any proposal on which the Bidder shortens the acceptance period may be rejected as determined by the Facility Systems Director.

PROPOSAL PRICES: Bid prices shall be firm and fixed throughout the contract period. State sales tax shall not be included in prices on all student/parent purchases. Any items purchased directly by the Board of Education (diplomas) shall not include state sales tax. No extra charges shall be allowed.
THE KENTON COUNTY SCHOOL DISTRICT
CLASS RINGS AND GRADUATION SUNDRIES
SPECIAL CONDITIONS - Page 6 of 7

PROPOSAL/SOLICITATION RESULTS: The results of the bid award will be sent out to all respective bidders after the September 18, 2006, Board Meeting.

COORDINATION OF SERVICES: The Contractor shall plan and coordinate the delivery of services with the individual school principal or his/her designee. All meetings shall be approved by the school designee. All printed materials shall be approved by the Facility Systems Director as well as each Building Principal. All discounted pricing available through this solicitation shall be highlighted in any printed materials.

EXTRA CHARGES NOT ALLOWED: The proposal price shall be for PACKAGE PRICING only (NOT Bid Pricing) with complete delivery of services and shall include all applicable fees (e.g. shipping, handling, packaging, postage, etc…). Extra charges will not be allowed.

IDENTIFICATION OF PROPOSAL ENVELOPE/PACKAGE: The signed proposal shall be returned in a separate envelope or package, sealed, addressed as directed on the Invitation to Bid, and identified as follows.

From: ____________________________

Name of Bidder ____________________________

Due Date ____________________________ Due Time ____________________________

Street Address ____________________________

City, State ____________________________ Zip ____________________________

RFP Title ____________________________

Facility Systems Director

If a proposal not marked as described above, the Bidder takes the risk that the envelope may be inadvertently opened and the information compromised which may cause the proposal to be disqualified. Proposals may be hand delivered to the designated location. No other correspondence or other proposals shall be placed in the envelope. The Kenton County School District does not accept facsimile proposals.

LATE PROPOSALS: To be considered for selection, proposals must be received by The Kenton County School District Purchasing Department by the designated date and time. Proposals received in the Purchasing Department after the date and time designated are non-responsive, automatically disqualified and will not be considered. The Kenton County School District is not responsible for delays in the delivery of mail by the U.S. Postal Service, private couriers, or the intra-school mail system or delivery by any other means. It is the sole responsibility of the Bidder to ensure that his/her proposal reaches the Purchasing Department by the designated date and hour.

METHOD OF PAYMENT: The Contractor shall be paid on the basis of invoices submitted directly to the student, a deposit of $50 or one half of the total order, whichever is less, to be paid at the time that the order is placed. The remaining balance shall be paid in full at the time of delivery.

ITEMS AVAILABLE FOR DELIVERY AT THE TIME OF ORDER:
The vendor shall have the ability to distribute basic memory books and the souvenir tassels at the time that the student places their order. All other items shall be received in one (1) shipment and distributed by the awarded representative and his/her staff.

FORMULATION OF SCHOOL CREST:
It shall be the responsibility of the awarded Bidder to develop a school crest for any new Kenton County School at no charge.
REFUNDS AND RETURNS: Refunds shall be issued on any order that is not personalized. Refunds shall be granted upon the merit of student(s) not meeting graduation requirements. Graduation sundries shall be exchanged for a different school if student transfers to a different school after the order is placed.

ORDER FORMS AND GRADUATION SUNDRIES ASSEMBLIES: Bidder shall develop an order form for graduation sundries whereas a “basic package” is listed at the TOP of the bid form. This package shall include one (1) soft cap, (1) gown, (1) embroidered stole and two (2) tassels. It shall be the responsibility of the awarded representative to communicate the need of only the essential items listed in the fore mentioned package. To minimize the amount of time students are out of class, only one assembly shall be called during the school year for the distributing of graduation item ordering information. Additional packets shall be left at the school for students unable to attend.

PRIME CONTRACTOR RESPONSIBILITIES: The Contractor shall be responsible for completely supervising and directing the work under this contract and all subcontractors that they may utilize, using their best skill and attention. Subcontractors who perform work under this contract shall be responsible to the prime Contractor. The Contractor agrees to be fully responsible for the acts and omissions of their subcontractors and of persons employed by them as they are for the acts and omissions of their own employees.

QUALIFICATIONS OF CONTRACTORS: The Kenton County School District may make such reasonable investigations as deemed proper and necessary to determine the ability of the Bidder to perform the work/furnish the item(s) and the Bidder shall furnish to The Kenton County School District all such information and data for this purpose as may be requested. The Kenton County School District further reserves the right to reject any proposal if the evidence submitted by, or investigations of, such Bidder fails to satisfy The Kenton County School District that such Bidder is properly qualified to carry out the obligations of the contract and to complete the work/furnish the item(s) contemplated therein.

GRADUATION CEREMONY RESPONSIBILITIES
It shall be the responsibility of the Contractor to be present at each school’s graduation ceremony. The Contractor shall bring additional caps, gown, and tassels to accommodate any type of emergency. The Contractor shall also bring double sided tape to anchor the stoles.

QUANTITIES: The quantities specified in this bid are estimates only to be used for evaluative purposes. Orders shall be placed on an as needed basis only by the school, the district, and/or the students.

RECEIPT OF PROPOSAL: It is the responsibility of the Contractor to assure that the proposal is delivered to the place designated for receipt of proposals prior to the time set for receipt of proposals. No proposal received after the time designated for receipt of proposals shall be considered.

LOCAL/TOLL FREE TELEPHONE NUMBER: The Bidder shall provide a local or toll free telephone number for school account representative and plant representative that can be called by school staff, students, and parents.

REPRESENTATIVE: Each school shall be appointed a representative who shall be personally responsible and present at all related meetings/occasions. If it is not possible to be present, they shall contact the Building Principal and the Facility Systems Director 48 hours prior to meeting for approval to send a substitute.
THE KENTON COUNTY SCHOOL DISTRICT
CLASS RINGS
SPECIFICATIONS

STONES
Stones shall be available in either smooth or faceted surface.
Simulated Birthstones shall be provided at no additional cost:

<table>
<thead>
<tr>
<th>Birthstones</th>
<th>Genuine Stones</th>
</tr>
</thead>
<tbody>
<tr>
<td>January-Garnet</td>
<td>July-Ruby</td>
</tr>
<tr>
<td>February-Amethyst</td>
<td>August-Peridot</td>
</tr>
<tr>
<td>March-Aquamarine</td>
<td>September-Fire Blue Spinel</td>
</tr>
<tr>
<td>April-White Zircon</td>
<td>October-Pink Tourmaline</td>
</tr>
<tr>
<td>May-Emerald</td>
<td>November-Yellow Topaz</td>
</tr>
<tr>
<td>June-Alexandrite</td>
<td>December-Blue Zircon</td>
</tr>
</tbody>
</table>

METALS
Bidder shall offer a yellow and white alternative to gold. Additional white alternatives may be offered. White alternatives may include one (1) fine jeweler’s stainless steel.

SELECTION
1. Bidder shall offer one (1) official series of rings to include activity/sport option.
2. Bidder shall provide an array of design/insignia choices to reflect multiple disciplines, vocations, hobbies, sports, etc…

OTHER CLASS RING CHOICES
Bidder shall provide a list of all other class ring choices (other than those outlined on the bid form) along with prices for each metal choice.

PRICING
All ring base prices shall include three (3) initials, birthstone choice, stone options (excluding diamonds), two (2) side/activity panels, custom mascots and antique finish. All prices shall include solid filled backs. Plastic and other materials are not to be used.

GUARANTEE
The Bidder shall maintain a lifetime guarantee on the ring and stone that includes the following:
1. The ring shall be re-sized for the lifetime of the ring at no charge.
2. All chipped or cracked stones shall be replaced at no charge for the ring.
3. Any student changing classes and/or schools shall have the year/date and school crest changed at no charge.
4. All defects in workmanship shall be replaced/corrected at no charge within three (3) weeks of notification for the lifetime of the ring.
5. Cleaning and refinishing shall be performed at no charge for the lifetime of the ring.

(Note: All Class Ring Orders shall be complete no later than December 20, of each year or an alternative mutually agreed upon date by the assigned Building Representative (Kenton County employee) and the awarded company).
THE KENTON COUNTY SCHOOL DISTRICT
CAPS, GOWNS, HOODS, AND STOLES
SPECIFICATIONS

SOFT CAPS
1. Caps shall be styled in the traditional academic styling.
2. Board shall be white polyethylene foam with a minimum size of 9” x 9” and ¼” thick.
3. A cap button shall be provided on the top of the cap, covered with the same material as the cap.
4. Caps shall have a full cut crown.
5. Caps sizes shall be elastic and adjustable to accommodate different size crowns.
6. The Bidder shall provide a full sized detachable tassel approximately fifteen (15) inches long of a contrasting or matching color attached to the cap by looping over cap button in center. The tassel shall consist of sixty-four (64) strands. Metallic date bands, symbolic in nature with the year of graduation shall be included.

GOWNS
1. Gowns shall be manufactured from a 100% poly satin summer weave material.
2. Gowns shall have lightweight yoke for coolness and fit.
3. The front of the gown shall be fully pleated.
4. Ample fullness in the body and sleeves shall be provided to allow for smooth draping appearance and sizing.
5. Gowns shall be in at least twelve (12) sizes in increments of two (2) inch of back length. Sizes shall be from 5’0” to 6’10”. A size to fit individuals of extraordinary build also must be made available.

STOLES
1. Stoles shall be constructed of a satin material.
2. Stoles shall be embroidered in the school’s colors for the entire graduating class. The school’s initials will be embroidered on one side of the stole and the class year date will be embroidered on the other side.
3. Gold stoles will be provided for the Top 20 and any student with a 4.0 and higher GPA. Gold stoles will be embroidered with Cum Laude, Summa Cum Laude, Magna Cum Laude on each stole in addition to the previously stated embroidery. The gold stoles shall be provided in place of the standard stole for these students.

FACULTY HOODS
1. Hoods shall be constructed of 100% poly satin summer weave material.
2. Hood shall be patterned after traditional academic styling.
3. Hood lining colors and arrangement shall be indicative of school awarding the degree.

FACULTY GOWNS
Faculty gowns must meet the specified requirements listed above and be black in color.

HONOR CORDS
1. The length of the honor cords shall be a minimum of 50 inches without the tassel.
2. The length of each tassel shall be a minimum of 4 inches.
3. The cord shall be three (3) ply twisted together. The thickness of the cord shall be a minimum of ¼” in thickness.
THE KENTON COUNTY SCHOOL DISTRICT
GRADUATION ANNOUNCEMENTS/ACCESSORIES
SPECIFICATIONS

GRADUATION ANNOUNCEMENTS
The Bidder shall provide Graduation Announcements in accordance with the following minimum specifications:

The specifications for the **paper** are:
White Vellum Paper is used for all three schools (Dixie Heights, Scott and Simon Kenton). Premium sulphite, acid free, archival, basis weight is 30#, caliper is 6.4, felt is 250, brightness is 90 and opacity is 90. The Announcements may be two or three fold. The Announcements tend to vary from year to year. A samples/sample book showing possible options based upon the pricing for the specification listed should accompany your proposal. Each school has the option to make selections based upon the specification listed or the sample options presented.

Announcements shall have an engraved special seal in large size, including matching envelopes, tissue paper inside, and slits for name cards. The Bidder shall provide an instruction letter and provide a poster to advertise the date.

For text and etchings: Fine-line thermograph raised text print. Clear and sharp impressions
For seal or crest: A genuine engraved seal or crest in gold engraving ink (Silver is also available) with additional background colors in foil or engraving process (as required).

The leaf colors matching universal PMS numbers are:

**Simon Kenton**- Pantone Reflex Blue leaf on design
- Pantone Black 03 ink for etching
- Pantone Reflex Blue ink for text
- Zaph Chancery 14 pt font for text
- Silver engraved crest with Pantone Reflex Blue background leaf

**Scott High School**- Pantone 306 (blue) leaf on design
- Silver engraved crest with Pantone 306 background leaf
- Pantone Black 03 ink for text
- Lucia 16 pt font
- Raised panel on paper

**Dixie Heights High School**- Red Pantone 485 leaf color
- Silver engraved crest with Pantone 485 background leaf
- Pantone Black 03 ink for fineline etching and text
- Flemish 16 pt font

GRADUATION ACCESSORIES
The Bidder shall provide the following graduation accessories:

1. Basic Name Cards
2. Basic Padded memory book shall be laminated.
3. Thank You Notes
4. Envelope Seals
5. Class Key
6. Class Key with Chain
THE KENTON COUNTY SCHOOL DISTRICT
DIPLOMAS
SPECIFICATIONS
PAGE 1

DIPLOMAS
All diplomas shall have the following minimum specifications:

1. A representative from the successful company shall meet individually with a representative at each school to confirm information, color, amounts, school crests, etc…
2. Service shall be prompt and dependable.
3. Shipments shall be made directly to the school listed on the purchase order.
4. White envelopes shall be provided for each diploma.
5. A plastic protector and tissue insert shall be provided for each diploma.
6. Transportation costs shall be included in the cost of the bid.
7. Any and all new dye fees, printer’s fees, etc., shall be included in the cost of the bid.
8. Four (4) extra covers and inserts shall be provided to each school in addition to the total listed for possible additional students, with proviso to be credited if not used.
9. The price per each listed on the bid form shall include cover, insert, plastic protector, tissue, ribbon on corners of covers, white envelope, crest of the school, dye fees, printer’s fees, transportation costs, any and all of the specifications.
10. A sample shall be provided with the bid.

INDIVIDUAL SCHOOL SPECIFICATIONS
Dixie Heights High School
3010 Dixie Highway, Crestview Hills, KY  41017
(859) 341-7650
Contact: Teresa Catchen

QUANTITY: Diplomas & Covers: 320

COVER
1. Covers shall be a side fold, 6” x 8” with a double line embossed on the outside of front cover.
2. Covers shall be padded.
3. Picture of school shall be etched inside of the cover on the left side.
4. Color of the cover shall be red.
5. Ribbons shall be provided as corner pockets of the cover. Ribbon shall be 1” wide. Color of the ribbon shall be red.
6. Color of the school name on the front of the cover shall be in silver.
7. Covers shall be pebbled surface.

DIPLOMAS
1. Diploma shall have a red/silver crest in top center. The school shall provide details of the crest.
2. The grade of paper for the diploma shall be 24 lb. Parchment, 100% cotton and rag content, and the paper shall be acid free.
3. The Principal’s, Superintendent’s, and Board President’s signatures shall be preprinted on the diplomas. There shall be NO lines under the signatures. Titles shall be under preprinted signatures.
4. Date on diploma shall have month and year.
5. Diploma shall have stamp of The Kenton County School District seal to match the school’s crest at lower left corner.
6. Diploma shall have open space on the lower right corner for any other award the school deems necessary.
7. Diploma shall have the name of the school printed in BOLD print.
8. Diploma shall have the name of the student printed in BOLD print.
9. Diploma shall have printed under the crest the follow: ACCREDITED BY SOUTHERN ASSOCIATION OF COLLEGES AND SCHOOLS.

Scott High School
5400 Old Taylor Mill Road, Taylor Mill, KY 41015
(859) 356-3146
Contact: Shane Rogers

QUANTITY: Diplomas & Covers: 230

COVER
1. Covers shall be a side fold, 6” x 8” with a double line embossed on the outside of front cover.
2. Covers shall be padded.
3. Picture of school shall be etched inside of the cover on the left side.
4. Color of the cover shall be gray.
5. Ribbons shall be provided as corner pockets of the cover. Ribbon shall be 1” wide. Color of the ribbon shall be blue.
6. Color of the school name on the front of the cover shall be in silver.
7. Covers shall have a smooth surface.

DIPLOMAS
1. Diploma shall have a blue/silver crest in top center. The school shall provide details of the crest.
2. The grade of paper for the diploma shall be 24 lb. Parchment, 100% cotton and rag content, and the paper shall be acid free.
3. The Principal’s, Superintendent’s, and Board President’s signatures shall be preprinted on the diplomas. There shall be NO lines under the signatures. Titles shall be under preprinted signatures.
4. Date on diploma shall have stamp of The Kenton County School District seal to match the school’s crest at lower left corner.
5. Diploma shall have open space on the lower right corner for any other award the school deems necessary.
6. Diploma shall have the name of the school printed in BOLD print.
7. Diploma shall have the name of the student printed in **BOLD** print.
8. Diploma shall have printed under the crest the following: **ACCREDITED BY SOUTHERN ASSOCIATION OF COLLEGES AND SCHOOLS.**
9. Provide gold self-sticking seals for diplomas for (1) Valedictorian and (2) Salutatorians.

**Simon Kenton High School**  
**11132 Madison Pike, Independence, KY  41051**  
**(859) 363-4100**  
**Contact: Jamie Lawson**

**QUANTITY:** Diplomas & Covers: 390

**COVER**
1. Covers shall be a side fold, 6” x 8” with a double line embossed on the outside of front cover.
2. Covers shall be padded.
3. Picture of school shall be etched inside of the cover with blue ink on the left side.
4. Color of the cover shall be white.
5. Ribbons shall be provided as corner pockets of the cover. Ribbon shall be 1” wide. Color of the ribbon shall be blue.
6. Color of the school name on the front of the cover shall be in gold.
7. Covers shall have a smooth surface.

**DIPLOMA**
1. Diploma shall have a blue/gold crest in top center. The school shall provide details of the crest.
2. The grade of paper for the diploma shall be 24 lb. Parchment, 100% cotton and rag content, and the paper shall be acid free.
3. The Principal’s, Superintendent’s, and Board President’s signatures shall be preprinted on the diplomas. There shall be NO lines under the signatures. Titles shall be under preprinted signatures.
4. Date on diploma shall have month and year.
5. Diploma shall have stamp of The Kenton County School District seal to match the school’s crest at lower left corner.
6. Diploma shall have open space on the lower right corner for any other award the school deems necessary.
7. Diploma shall have the name of the school printed in **BOLD** print.
8. Diploma shall have the name of the student printed in **BOLD** print.
9. Diploma shall have printed under the crest the following: **ACCREDITED BY SOUTHERN ASSOCIATION OF COLLEGES AND SCHOOLS.**
THE KENTON COUNTY SCHOOL DISTRICT
DIPLOMAS
SPECIFICATIONS
PAGE 4

Kenton County School District
1055 Eaton Drive, Fort Wright, KY. 41017
(859) 957-2631
Contact: Joanne Goodrich

QUANTITY: Diplomas & Covers: 100

COVER
1. Covers shall be a side fold, 6” x 8” with a double line embossed on the outside of front cover.
2. Covers shall be padded.
3. Picture of district logo (2 color) shall be etched inside of the cover.
4. Color of the cover shall be maroon.
5. Color of the 4 corner ribbon shall be maroon.
6. Color of the district name on the front of the cover shall be in gold.
7. Covers shall have a smooth surface.

DIPLOMA
1. Diploma shall be black and white with the district logo in top center. The district shall provide details of this logo.
2. The grade of paper for the diploma shall be 24 lb. Parchment, 100% cotton and rag content, and the paper shall be acid free.
3. There will be lines for the Superintendent’s and Board President’s signatures. Titles shall be printed under these lines at the bottom of the diploma.
4. Diploma shall have the name of the district printed in BOLD print.
5. There shall be a space for the student name to be printed on the diploma.

CERTIFICATE OF ATTAINMENT
All three high schools offer a Certificate of Attainment. This certificate is the same as the District Diploma, but with different lettering/wording. No Covers are provided with this option.
PRICING SCHEDULE: The Bidder shall agree to provide High School Graduation Requirements at the following firm fixed unit prices in accordance with the specifications, general and special terms and conditions identified herein. Package Pricing only NOT BID PRICING.

Quantities listed below are annual estimates. The exact amount of items required will be governed by actual needs. Parents and/or students of The Kenton County School District will only be obligated under this contract, to the extent of orders issued and materials received/ordered.

Prices listed below do not include State of Kentucky Sales Tax.

All ring base prices shall include three (3) initials, birthstones, stone options, side/activity panels, custom mascots and antique finish. All prices shall include solid filled backs. Plastic and other materials are not to be used.

<table>
<thead>
<tr>
<th>RING NAME</th>
<th>DESCRIPTION</th>
<th>EST. PENNYWEIGHT</th>
<th>STONE SIZE</th>
<th>EST. QTY.</th>
<th>UNIT PRICE</th>
<th>TOTAL PRICE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jostens Achiever (A11), Balfour Landmark (I11) or equal Male Ring</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>White or Yellow 10K Gold</td>
<td>Dwt.</td>
<td>mm.</td>
<td>4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>White or Yellow 14K Gold</td>
<td>Dwt.</td>
<td>mm.</td>
<td>1</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>White Alloy</td>
<td>Dwt.</td>
<td>mm.</td>
<td>27</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Silver Elite with Platinum</td>
<td>Dwt.</td>
<td>mm.</td>
<td>10</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Jostens Royal (A12), Balfour Stellar (I21) or equal Female Ring</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>White or Yellow 10K Gold</td>
<td>Dwt.</td>
<td>mm.</td>
<td>4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>White or Yellow 14K Gold</td>
<td>Dwt.</td>
<td>mm.</td>
<td>1</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>White Alloy</td>
<td>Dwt.</td>
<td>mm.</td>
<td>11</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Silver Elite with Platinum</td>
<td>Dwt.</td>
<td>mm.</td>
<td>5</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Jostens Magnum (A13), Balfour or equal Male Ring</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>White or Yellow 10K Gold</td>
<td>Dwt.</td>
<td>mm.</td>
<td>4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>White or Yellow 14K Gold</td>
<td>Dwt.</td>
<td>mm.</td>
<td>1</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>White Alloy</td>
<td>Dwt.</td>
<td>mm.</td>
<td>8</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Silver Elite with Platinum</td>
<td>Dwt.</td>
<td>mm.</td>
<td>6</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>RING NAME</td>
<td>DESCRIPTION</td>
<td>EST. PENNYWEIGHT</td>
<td>STONE SIZE</td>
<td>EST. QTY.</td>
<td>UNIT PRICE</td>
<td>TOTAL PRICE</td>
</tr>
<tr>
<td>-----------</td>
<td>-------------</td>
<td>------------------</td>
<td>------------</td>
<td>-----------</td>
<td>------------</td>
<td>-------------</td>
</tr>
<tr>
<td>Jostens Pageant (A14), Balfour or equal Female Ring</td>
<td>White or Yellow 10K Gold</td>
<td>Dwt.</td>
<td>mm.</td>
<td>2</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>White or Yellow 14K Gold</td>
<td>Dwt.</td>
<td>mm.</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>White Alloy</td>
<td>Dwt.</td>
<td>mm.</td>
<td>5</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Silver Elite with Platinum</td>
<td>Dwt.</td>
<td>mm.</td>
<td>2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Jostens Delicate (A16) or equal Female Ring</td>
<td>White or Yellow 10K Gold</td>
<td>Dwt.</td>
<td>mm.</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>White or Yellow 14K Gold</td>
<td>Dwt.</td>
<td>mm.</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>White Alloy</td>
<td>Dwt.</td>
<td>mm.</td>
<td>12</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Silver Elite with Platinum</td>
<td>Dwt.</td>
<td>mm.</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Jostens Vanguard (A39), Balfour Masterpiece (I34) or equal Male Ring</td>
<td>White or Yellow 10K Gold</td>
<td>Dwt.</td>
<td>mm.</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>White or Yellow 14K Gold</td>
<td>Dwt.</td>
<td>mm.</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>White Alloy</td>
<td>Dwt.</td>
<td>mm.</td>
<td>14</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Silver Elite with Platinum</td>
<td>Dwt.</td>
<td>mm.</td>
<td>4</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Jostens Vanguard (A40), Balfour Liberty (I44) or equal Female Ring</td>
<td>White or Yellow 10K Gold</td>
<td>Dwt.</td>
<td>mm.</td>
<td>2</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>White or Yellow 14K Gold</td>
<td>Dwt.</td>
<td>mm.</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>White Alloy</td>
<td>Dwt.</td>
<td>mm.</td>
<td>4</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Silver Elite with Platinum</td>
<td>Dwt.</td>
<td>mm.</td>
<td>5</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

The quantities listed are the most popular styles purchased by Kenton County Students in 2013. The estimates shown represent roughly 50% of the rings purchased. Actual sales for 2013 were 256 rings with total sales of $68,829.30. All figures shown are estimates only, and the Board will not guarantee any sales.

Lead Time after receipt of order: ________________ days / weeks  (Circle One)
THE KENTON COUNTY SCHOOL DISTRICT  
CAPS, GOWNS, HOODS, & COLLARS  
BID FORM

Quantities listed below are annual estimates. The exact amount of items required will be governed by actual needs. Parents and/or students of The Kenton County School District will only be obligated under this contract, to the extent of orders issued and materials received/ordered.

The estimated quantity of 940 is the combined total of graduating seniors for the 2013 school year excluding Basic Diploma Recipients from The Kenton County School District.

### CAPS, GOWNS, HOODS, & COLLARS

<table>
<thead>
<tr>
<th>ITEM #</th>
<th>DESCRIPTION</th>
<th>EST. QTY.</th>
<th>UNIT PRICE</th>
<th>TOTAL PRICE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Basic Package: Cap, Gown, Embroidered Stole &amp; (2)Tassels</td>
<td>940</td>
<td>$ .</td>
<td>$ .</td>
</tr>
</tbody>
</table>

**Possible Additional Items:**

<table>
<thead>
<tr>
<th>ITEM #</th>
<th>DESCRIPTION</th>
<th>EST. QTY.</th>
<th>UNIT PRICE</th>
<th>TOTAL PRICE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Cords</td>
<td>75</td>
<td>$ .</td>
<td>$ .</td>
</tr>
<tr>
<td></td>
<td>Cap &amp; (2) Tassels</td>
<td>1</td>
<td>$ .</td>
<td>$ .</td>
</tr>
<tr>
<td></td>
<td>Gown</td>
<td>1</td>
<td>$ .</td>
<td>$ .</td>
</tr>
<tr>
<td></td>
<td>Embroidered Stole</td>
<td>1</td>
<td>$ .</td>
<td>$ .</td>
</tr>
</tbody>
</table>

*Note: In some cases special cords may be purchased by the students from third party sources.*

Check either “Loan” free of charge or “Donate” free of charge,

<table>
<thead>
<tr>
<th>ITEM #</th>
<th>DESCRIPTION</th>
<th>EST. QTY</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Black Faculty Gowns</td>
<td>30</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>(10 per school)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Colored Hoods to indicate degree and school</td>
<td>30</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>(10 per school)</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*Lead time after receipt of order: _____________________ days / weeks* (Circle One)
THE KENTON COUNTY SCHOOL DISTRICT
GRADUATION ANNOUNCEMENTS & ACCESSORIES
BID FORM

Quantities listed below are annual estimates. The exact amount of items required will be governed by actual needs. Parents and/or students of The Kenton County School District will only be obligated under this contract, to the extent of orders issued and materials received/ordered.

<table>
<thead>
<tr>
<th>ITEM #</th>
<th>DESCRIPTION</th>
<th>EST. QTY.</th>
<th>PACKAGE QTY.</th>
<th>UNIT PRICE</th>
<th>TOTAL PRICE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Two-Fold Announcements w/ Envelopes – Scott High</td>
<td>65</td>
<td>25</td>
<td>$ .</td>
<td>$ .</td>
</tr>
<tr>
<td></td>
<td>School</td>
<td>30</td>
<td>50</td>
<td>$ .</td>
<td>$ .</td>
</tr>
<tr>
<td></td>
<td></td>
<td>20</td>
<td>75</td>
<td>$ .</td>
<td>$ .</td>
</tr>
<tr>
<td></td>
<td></td>
<td>1</td>
<td>Each</td>
<td>$ .</td>
<td>$ .</td>
</tr>
<tr>
<td></td>
<td>Three-Fold Announcements w/ Envelopes – Dixie Heights</td>
<td>210</td>
<td>25</td>
<td>$ .</td>
<td>$ .</td>
</tr>
<tr>
<td></td>
<td>Heights High &amp; Simon Kenton High</td>
<td>105</td>
<td>50</td>
<td>$ .</td>
<td>$ .</td>
</tr>
<tr>
<td></td>
<td></td>
<td>70</td>
<td>75</td>
<td>$ .</td>
<td>$ .</td>
</tr>
<tr>
<td></td>
<td></td>
<td>1</td>
<td>Each</td>
<td>$ .</td>
<td>$ .</td>
</tr>
<tr>
<td></td>
<td>Name Cards, Standard</td>
<td>120</td>
<td>50</td>
<td>$ .</td>
<td>$ .</td>
</tr>
<tr>
<td></td>
<td>Name Cards, Foil</td>
<td>350</td>
<td>50</td>
<td>$ .</td>
<td>$ .</td>
</tr>
<tr>
<td></td>
<td></td>
<td>50</td>
<td>100</td>
<td>$ .</td>
<td>$ .</td>
</tr>
<tr>
<td></td>
<td></td>
<td>10</td>
<td>150</td>
<td>$ .</td>
<td>$ .</td>
</tr>
<tr>
<td></td>
<td>Padded Memory Book</td>
<td>140</td>
<td>Each</td>
<td>$ .</td>
<td>$ .</td>
</tr>
<tr>
<td></td>
<td>Thank You Notes, Standard</td>
<td>300</td>
<td>25</td>
<td>$ .</td>
<td>$ .</td>
</tr>
<tr>
<td></td>
<td>Standard</td>
<td>340</td>
<td>50</td>
<td>$ .</td>
<td>$ .</td>
</tr>
<tr>
<td></td>
<td>Envelope Seals</td>
<td>10</td>
<td>Each</td>
<td>$ .</td>
<td>$ .</td>
</tr>
<tr>
<td></td>
<td>Class Key</td>
<td>325</td>
<td>Each</td>
<td>$ .</td>
<td>$ .</td>
</tr>
<tr>
<td></td>
<td>Year/Date Key Ring</td>
<td>325</td>
<td>Each</td>
<td>$ .</td>
<td>$ .</td>
</tr>
</tbody>
</table>

Lead time after receipt of order __________ days / weeks  (Circle One)
THE KENTON COUNTY SCHOOL DISTRICT
DIPLOMAS
BID FORM

Diplomas

<table>
<thead>
<tr>
<th>ESTIMATED QUANTITY</th>
<th>SCHOOL</th>
<th>UNIT PRICE</th>
<th>EXTENDED PRICE</th>
</tr>
</thead>
<tbody>
<tr>
<td>320</td>
<td>Dixie Heights High School</td>
<td></td>
<td></td>
</tr>
<tr>
<td>230</td>
<td>Scott High School</td>
<td></td>
<td></td>
</tr>
<tr>
<td>390</td>
<td>Simon Kenton High School</td>
<td></td>
<td></td>
</tr>
<tr>
<td>100</td>
<td>The Kenton County School District</td>
<td></td>
<td></td>
</tr>
<tr>
<td>15</td>
<td>Certificate of Attainment</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Diploma Covers

<table>
<thead>
<tr>
<th>ESTIMATED QUANTITY</th>
<th>SCHOOL</th>
<th>UNIT PRICE</th>
<th>EXTENDED PRICE</th>
</tr>
</thead>
<tbody>
<tr>
<td>320</td>
<td>Dixie Heights High School</td>
<td></td>
<td></td>
</tr>
<tr>
<td>230</td>
<td>Scott High School</td>
<td></td>
<td></td>
</tr>
<tr>
<td>390</td>
<td>Simon Kenton High School</td>
<td></td>
<td></td>
</tr>
<tr>
<td>100</td>
<td>The Kenton County School District</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
**THE KENTON COUNTY SCHOOL DISTRICT**
**GRADUATION SUNDRIES**
**BID FORM**

List any/all product(s) intended to be offered to The Kenton County School District not previously listed on the Bid Form.
(These items will not be used for evaluation purposes)

<table>
<thead>
<tr>
<th>Item</th>
<th>Item Number</th>
<th>UOM</th>
<th>Price per Unit</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

Lead time after receipt of order: ______________________ days / weeks  (Circle One)
TO:  David Lloyd, Purchasing Director  
The Kenton County School District  
1055 Eaton Drive  
Ft. Wright, KY  41017

RE:  CERTIFICATION OF COMPLIANCE WITH SPECIFICATIONS

All blanks and information requested are to be completed on the bid form in order to qualify your bid. Prices listed in the “Unit Price” column shall reflect the net price after discount. The Kenton County School District reserves the right to make multiple awards. The Board of Education reserves the right to order additional quantities, as needed, and at the bid prices, for the duration of the contract period. Having carefully examined the instructions to bidders and the specifications, on the above referenced bid, the undersigned bidder proposes to furnish all labor, materials, equipment, tools, supplies, services, and temporary devices required to complete the work in accordance with the contract documents and any addenda listed below for the price stated herein.

Addenda_______________(Insert the addenda number(s) received or the word “none” if no addenda received.)

In compliance with the INVITATION TO BID, and subject to all the conditions, thereof, the undersigned hereby certifies that all items and/or services included in this bid shall be in compliance with all requirements and technical specifications included in this invitation to bid, except as noted below:

EXCEPTIONS:

Ordering Information  (Exactly how the information appears on the W-9)

Company Name  ____________________________________________________________

DBA  ________________________________________________________________

Street Address  __________________________________________________________

City  _____________________  State ______  Zip _________

Contact/Title  ___________________________________________________________

Telephone/Fax  __________________________________________________________

E-Mail Address  __________________________________________________________

Description of Products/Services  __________________________________________

________________________________________

Authorized Bidder's Signature & Date ____________________________
Accounts Receivable and Check Remittance Information

Remittance Department Name _______________________________________________________

Remittance Street Address _______________________________________________________  

Remittance City ___________________________ State ________   Zip __________

Accounts Receivable Contact/Title ________________________________________________

Accounts Receivable Telephone/Fax _______________________________________________

Accounts Receivable E-Mail Address _______________________________________________

The district is considering implementing Electronic Funds Transfers for payment. Does your firm accept payment via Electronic Funds Transfer (EFT) Circle One ( YES / NO )

CREDIT CARD OPTIONAL PAYMENT METHOD: 
THE BOARD HAS THE ABILITY TO PAY FOR PREMIUMS WITH A MASTERCARD. DOES YOUR FIRM ACCEPT PAYMENT WITH A MASTERCARD, AND IF SO IS THERE ANY ADDITIONAL CHARGES ASSOCIATED WITH THIS FORM OF PAYMENT:

(Yes or No - Circle One) Any Charge Associated with this form of payment $___________.

Only Quantities listed on the Bid Forms will be used for evaluation purposes. The Board does not guarantee any sale quantities.
List three (3) school systems of similar size and scope that services have been rendered to.

<table>
<thead>
<tr>
<th>SCHOOL</th>
<th>CONTACT NAME</th>
<th>ADDRESS</th>
<th>PHONE NO. (    )</th>
<th>-</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>E-Mail Address</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>SCHOOL</td>
<td>CONTACT NAME</td>
<td>ADDRESS</td>
<td>PHONE NO. (    )</td>
<td>-</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>E-Mail Address</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>SCHOOL</td>
<td>CONTACT NAME</td>
<td>ADDRESS</td>
<td>PHONE NO. (    )</td>
<td>-</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>E-Mail Address</td>
<td></td>
</tr>
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<td></td>
</tr>
</tbody>
</table>

SERVICES RENDERED:
THE KENTON COUNTY SCHOOL DISTRICT
CLASS RINGS AND GRADUATION SUNDRIES

Bid Submittal Checklist

<table>
<thead>
<tr>
<th>Item to include with submittal</th>
<th>Included</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bid Form(s), completed &amp; signed, Pages 25-31</td>
<td></td>
</tr>
<tr>
<td>Reference Sheet &amp; Bid Submittal Checklist (Completed), Page 31</td>
<td></td>
</tr>
<tr>
<td>Conflict of Interest Form, completed &amp; signed, Page 32</td>
<td></td>
</tr>
<tr>
<td>Perceived Quality of Service (3-page maximum write-up)</td>
<td></td>
</tr>
<tr>
<td>Requested samples of merchandise (Rings labeled with the Balfour Equivalent Name/Part Number and Specification Sheet)</td>
<td></td>
</tr>
<tr>
<td>Sample Order Form</td>
<td></td>
</tr>
<tr>
<td>Sample Catalog/Sample Packet of all merchandise/materials</td>
<td></td>
</tr>
<tr>
<td>Sample of Proposed End of Year Statement</td>
<td></td>
</tr>
<tr>
<td>Proof of Required Insurance</td>
<td></td>
</tr>
<tr>
<td>Required Affidavit for Bidders, Offerors and Contractors claiming resident bidder status. (All Bidders)</td>
<td></td>
</tr>
<tr>
<td>W-9</td>
<td></td>
</tr>
</tbody>
</table>

(Note: Actual sample Announcements and Envelopes for each high school are available for viewing at the Central Office front desk Monday – Friday 9:00 am – 3:00 pm every business day until the bid opening. These samples are not permitted to be removed from this location.

Bid tabulations shall be available for viewing within three days after the Board Award at;

http://kenton.schoolpointesites.com/content_page2.aspx?cid=300
CONFLICT OF INTEREST

It shall be a breach of ethical standards for any employee with procurement authority to participate directly in any proceeding or application; request for ruling or other determination; claim or controversy; or other particular matter pertaining to any contract, or subcontract, and any solicitation or proposal therefor, in which to his knowledge:
He, or any member of his immediate family has a financial interest therein; or
A business or organization in which he or any member of his immediate family has a financial interest as an officer, director, trustee, partner, or employee, is a party; or
Any other person, business, or organization with whom he or any member of his immediate family is negotiating or has an arrangement concerning prospective employment is a party. Direct or indirect participation shall include but not be limited to involvement through decision, approval, disapproval, recommendation, preparation of any part of a purchase request, influencing the content of any specification or purchase standard, rendering of advice, investigation, auditing, or in any other advisory capacity.
It shall be a breach of ethical standards for any person to offer, give, or agree to give any employee or former employee, or for any employee or former employee to solicit, demand, accept, or agree to accept from another person, a gratuity or an offer of employment, in connection with any decision, approval, disapproval, recommendation, preparation of any part of a purchase request, influencing the content of any specification or purchase standard, rendering of advice, investigation, auditing, or in any other advisory capacity in any proceeding or application, request for ruling or other determination, claim or controversy, or other particular matter, pertaining to any contract or subcontract and any solicitation or proposal therefor.
It is a breach of ethical standards for any payment, gratuity, or offer of employment to be made by or on behalf of a subcontractor under a contract to the prime contractor or higher tier subcontractor or any person associated therewith, as an inducement for the award of a subcontract or order.
The prohibition against conflicts of interest and gratuities and kickbacks shall be conspicuously set forth in every local public agency written contract and solicitation therefor.
It shall be a breach of ethical standards for any public employee or former employee knowingly to use confidential information for his actual or anticipated personal gain, or the actual or anticipated personal gain of any other person.

____________________________________________  __________
Signature                                                 Date

References:  KRS 156. 480, OAG 80-32, Model Procurement Code 45A.455

NOTE:  THIS CERTIFICATE MUST BE SIGNED AND ATTACHED TO THE BID FORM IN ORDER FOR YOUR BID TO BE QUALIFIED.

References:  KRS 156. 480, OAG 80-32, Model Procurement Code 45A.455

NOTE:  THIS CERTIFICATE MUST BE SIGNED AND ATTACHED TO THE BID FORM IN ORDER FOR YOUR BID TO BE QUALIFIED.
REQUIRED AFFIDAVIT FOR BIDDERS, OFFERORS AND CONTRACTORS CLAIMING RESIDENT BIDDER STATUS

FOR BIDS AND CONTRACTS IN GENERAL:
The bidder or offeror hereby swears and affirms under penalty of perjury that, in accordance with KRS 45A.494(2), the entity bidding is an individual, partnership, association, corporation, or other business entity that, on the date the contract is first advertised or announced as available for bidding:

1. Is authorized to transact business in the Commonwealth;
2. Has for one year prior to and through the date of advertisement
   a. Filed Kentucky corporate income taxes;
   b. Made payments to the Kentucky unemployment insurance fund established in KRS 341.49; and
   c. Maintained a Kentucky workers’ compensation policy in effect.

The BIDDING AGENCY reserves the right to request documentation supporting a bidder’s claim of resident bidder status. Failure to provide such documentation upon request shall result in disqualification of the bidder or contract termination.

Signature

Printed Name

Title

Date

Company Name

Address

Subscribed and sworn to before me by

(Affiant) (Title)

of __________________ this _____ day of ____________, 20___.

(Company Name)

Notary Public

[seal of notary] My commission expires: _________
Form W-9

Request for Taxpayer Identification Number and Certification

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

Name (as shown on your income tax return)

Business name/disregarded entity name, if different from above

Check appropriate box for federal tax classification:

- Individual/sole proprietor
- C Corporation
- S Corporation
- Partnership
- Trust/estate
- Limited liability company. Enter the tax classification (C-C corporation, S-S corporation, P-partnership)
- Exempt payee

Other (see instructions) ▶

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

City, state, and ZIP code

Requestor’s name and address (optional)

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 the “Name” line 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 2. For other entities, it is your employer identification number (EIN). You may not have a number. See How to get a TIN on page 3.

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

Social security number

Employer identification number

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 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.

Signature of U.S. person

Date ▶

General Instructions

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

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.

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. 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.

Definition of a U.S. person. For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien,
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States, or
- An estate (other than a foreign estate), or
- A domestic trust (as defined in Regulations section 31.7701-7).

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.
Note. If you are a U.S. person and 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.

Definition of a U.S. person. For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien;
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States;
- An estate (other than a foreign estate); or
- A domestic trust (as defined in Regulations section 301.7701-7).

Special rules for partnerships. Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax on section 1446 on any foreign partners’ share of effectively connected taxable income from such business. Further, in certain cases where a Form W-8 has not been received, the rules under section 1446 require a partnership to presume that a partner is a foreign person and pay the section 1446 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 section 1446 withholding on your share of partnership income.

In the cases below, the following person must give 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:

- In the case of a disregarded entity with a U.S. owner, the U.S. owner of the disregarded entity and not the entity;
- In the case of a grantor trust with a U.S. grantor or other U.S. owner, generally the U.S. grantor or other U.S. owner of the grantor trust and not the trust; and
- In the case of a U.S. trust (other than a grantor trust), the U.S. trust (other than a grantor trust) and not the beneficiaries of the trust.

Foreign person. If you are a foreign person or the U.S. branch of a foreign bank that has elected to be treated as a U.S. person, do not use Form W-9. Instead, use the appropriate Form W-8 or Form 8333 (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 payee 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 he or she stays in the United States exceeds 5 calendar months. 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 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, give the requester the appropriate completed Form W-8 or Form 8333.

Backup Withholding

What is backup withholding? Persons making certain payments to you must under certain circumstances withhold and pay to the IRS 26% of such payments. This is called “backup withholding.” Payments that may be subject to backup withholding include interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, payments made in settlement of wagering and baccarat and pari-mutuel race and sports, and certain payments made to a financial institution or boat operator. 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 3 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);
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);
6. Certain payments and payments are exempt from backup withholding. See Exemption from FATCA reporting code and the separate instructions for the Requestor of Form W-9 for more information.

Also see Special rules for partnerships above.

What is FATCA reporting?
The Foreign Account Tax Compliance Act (FATCA) requires a participating foreign financial institution to report all United States account holder assets that are specified United States persons. Certain payees are exempt from FATCA reporting. See Exemption from FATCA reporting code on page 3 and the instructions for the Requestor of Form W-9 for more information.

Updating Your Information
You must provide updated information to any person to whom you claimed to be an exempt payee if you anticipate receiving reportable payments in the future from this person. For example, you may need to provide updated information if you are a C corporation that elects to be an S corporation, or if you no longer are a tax-exempt organization. In addition, you must furnish a new Form W-9 if the name or TIN changes for the account; for example, if the grantor of a grantor trust dies.

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 failure to report interest and dividends. If you fail to report foreign financial accounts with a balance in excess of $10,000 you are subject to a $50,000 penalty.

Criminal penalty for failing to report foreign financial accounts. If you fail to report foreign financial accounts, you may be subject to criminal fines and/or imprisonment.

Failure to report information on backup withholding payees. If you fail to report the payee’s TIN and amount of backup withholding, you are subject to a penalty of $50 per payee.

Access to information from the IRS. The IRS may disclose the information to other federal, state, local, or foreign tax agencies and law enforcement agencies.

Specific Instructions

Line 1
You must enter one of the following on this line; do not leave this line blank. The name should match the name on your tax return. If this Form W-9 is for a joint account, list first, and then circle, the name of the person or entity whose number you entered in Part I of Form W-9.

a. Individual. Generally, enter the name shown on your tax return. If you have changed your last name without obtaining a Social Security Administration (SSA) name change, enter your first name, the last name as shown on your social security card, and your new last name.

b. TIN applicant. Enter the name under which you were issued Form W-7 application, line 1a. This should also be the name as the name you entered on the Form 1040/1040A/1040EZ you filed with your application.

c. Sole proprietor or single-member LLC. Enter your full legal name as shown on your driver’s license or state ID, line 1a. Your name must be capitalized exactly as shown on your driver’s license or state ID.

2. Partnership, LLC, or S Corporation. Enter the entity’s name as shown on the entity’s tax return on line 1 and any business, trade, or DBA name on line 2.

3. Other entities. Enter your name as shown on required U.S. federal tax documents on line 1. 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 line 2.

4. Disregarded entity. For U.S. federal tax purposes, an entity that is disregarded as an entity separate from its owner is treated as a “disregarded entity.” Enter the entity’s name as shown on line 1. The name of the entity entered on line 1 should never be a disregarded entity. The name on line 1 should be the name shown on the income tax return on which the income should be reported. For example, if a foreign LLC that is treated as a disregarded entity for U.S. federal tax purposes has a single owner that is a U.S. person, the U.S. owner’s name is required to be provided on line 1. If the name is disregarded of the entity is also a disregarded entity, enter the name shown on the income tax return on which the income should be reported. Enter the disregarded entity’s name on line 1. Business name/disregarded entity name. If the owner of the disregarded entity is a foreign person, the owner must complete an appropriate Form W-8 instead of a Form W-9. This is the case even if the foreign person has a U.S. TIN.
Line 2
If you have a business name, trade name, DBA name, or disregarded entity name, you may enter it on line 2.

Line 3
Check the appropriate box in line 3 for the U.S. federal tax classification of the person whose name is entered on line 1. Check only one box in line 3.

Limited Liability Company (LLC). If the name on line 1 is an LLC treated as a partnership for U.S. federal tax purposes, check the "Limited Liability Company" box and enter "P" in the space provided. If the LLC has filed Form 8832 or 2553 to be treated as a corporation, check the "Limited Liability Company" box and in the space provided enter "C" for C Corporation or "S" for S Corporation. If it is a single-member LLC that is disregarded entity, do not check the "Limited Liability Company" box; instead check the first box in line 3 "Individual/sole proprietor or single-member LLC."

Line 4, Exemptions
If you are exempt from backup withholding and/or FATCA reporting, enter in the appropriate space in line 4 any code(s) that may apply to you.

Exempt payee code.
- Generally, individuals (including sole proprietors) are not exempt from backup withholding for certain payments, including interest and dividends.
- Corporations are not exempt from backup withholding for payments made in settlement of payment card or third party network transactions.
- Corporations are not exempt from backup withholding with respect to attorney’s fees or gross proceeds paid to attorneys, and corporations that provide medical or health care services are not exempt with respect to payments reportable on Form 1099-MISC.

The following codes identify payees that are exempt from backup withholding.

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 403(b)(2)(C).
2-The United States or any of its agencies or instrumentalities.
3-A state, the District of Columbia, a U.S. commonwealth or possession, or any of its political subdivisions or instrumentalities.
4-A foreign government or any of its political subdivisions, agencies, or instrumentalities.
5-A corporation.
6-A dealer in securities or commodities required to register in the United States, the District of Columbia, or a U.S. commonwealth or possession.
7-A futures commission merchant registered with the Commodity Futures Trading Commission.
8-A real estate investment trust.
9-An entity registered at all times during the tax year under the Investment Company Act of 1940.
10-A common trust fund operated by a bank under section 584(a).
11-A financial institution.
12-A middleman known in the investment community as a nominee or custodian.
13-A trust exempt from tax under section 664 or described in section 4947(a)(11).

The following chart shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 13.

<table>
<thead>
<tr>
<th>IF the payment is for...</th>
<th>THEN the payment is exempt for...</th>
</tr>
</thead>
<tbody>
<tr>
<td>Interest and dividends</td>
<td>All exempt payees except for...</td>
</tr>
<tr>
<td>Broker transactions</td>
<td>Exempt payees 1 through 4 and 6</td>
</tr>
<tr>
<td></td>
<td>through 11 and all C corporations.</td>
</tr>
<tr>
<td>Barter exchange transactions and patronage dividends</td>
<td>Exempt payees 1 through 4.</td>
</tr>
<tr>
<td>Payments over $600 required to be reported and direct sales over $5,000</td>
<td>Generally, exempt payees 1 through 5.</td>
</tr>
<tr>
<td>Payments made in settlement of payment card or third party network transactions</td>
<td>Exempt payees 1 through 4.</td>
</tr>
</tbody>
</table>

3See Form 1099-MISC, Miscellaneous Income, and its instructions.

However, the following payments made to a corporation and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorney’s fees, gross proceeds paid to an attorney reportable under section 6045, and payments for services paid by a federal executive agency.

Exemption from FATCA reporting code. The following codes identify payees that are exempt from reporting under FATCA. These codes apply to persons submitting this form for accounts maintained outside of the United States by certain foreign financial institutions. Therefore, if you are only submitting this form for an account you hold in the United States, you may leave this field blank. Consult with the person requesting this form if you are uncertain if the financial institution is subject to these requirements. A requester may indicate that a code is not required by providing you with a Form W-9 with "Not Applicable" or any similar indication written or printed on the line for a FATCA exemption code.

A-An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(3).
B-The United States or any of its agencies or instrumentalities.
C-A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities.
D-A corporation the stock of which is regularly traded on one or more established securities markets, as described in Regulations section 1.1472-1(e)(1)(ii).
E-A corporation that is a member of the same expanded affiliated group as a corporation described in Regulations section 1.1472-1(e)(1)(ii).
F-A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state.
G-A real estate investment trust.
H-A regulated investment company as defined in section 581 or an entity registered at all times during the tax year under the Investment Company Act of 1940.
I-A common trust fund as defined in section 584(a).
J-A bank as defined in section 501.
K-A broker.
L-A trust exempt from tax under section 664 or described in section 4947(a)(11).
M-A tax exempt trust under a section 403(b) plan or section 4947(a)(11) plan.

Note: You may wish to consult with the financial institution requesting this form to determine whether the FATCA code and/or exempt payee code should be completed.

Line 5
Enter your address (number, street, and apartment or suite number). This is where the requester of this Form W-9 will mail your information return.

Line 6
Enter your city, state, and ZIP code.

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 EIN.

If you are a single-member LLC that is disregarded as an entity separate from its owner (see Limited Liability Company (LLC) on this page), enter the owner’s SSN or EIN (if the owner has one). Do not enter the disregarded entity’s EIN. If the LLC is classified as a corporation or partnership, 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 SSA office or get this form online at www.ssa.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 and clicking on Employer Identification Number (EIN) under Start or a Business. You can get Forms W-7 and SS-4 from the IRS by visiting 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, apply for a TIN and 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 tradeable 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. Entering "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

Caution: A disregarded U.S. 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, or 5 below indicate otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). In the case of a disregarded entity, the person identified on line 1 must sign. Except payees, see Except payee code earlier.

**Signature requirements.** Complete the certification as indicated in items 1 through 5 below:

1. Interest, dividend, and broker exchange accounts opened before 1964 and broker accounts considered active during 1963. You must give your correct TIN, but you do not have to sign the certification.

2. Interest, dividend, and broker exchange accounts opened after 1963 and broker accounts considered inactive during 1963. 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, sales, and state health care services (including payments to corporations), payments to a nonemployee for services, payments made in settlement of payment card and third party network transactions, 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

<table>
<thead>
<tr>
<th>For this type of account:</th>
<th>Give name and TIN of:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Individual</td>
<td>The individual</td>
</tr>
<tr>
<td>Two or more individuals</td>
<td>The actual owner of the account or, if combined funds, the fund itself on this account.</td>
</tr>
<tr>
<td>(Joint account)</td>
<td></td>
</tr>
<tr>
<td>Custodian account</td>
<td>The minor</td>
</tr>
<tr>
<td>of a minor (Uniform Gift to Minors Act)</td>
<td></td>
</tr>
<tr>
<td>a. The custodian revocable trust (grantor is also trustee)</td>
<td></td>
</tr>
<tr>
<td>b. So-called trust account that is not a legal or valid trust under state law</td>
<td></td>
</tr>
<tr>
<td>Sole proprietorship or disregarded entity owned by an individual</td>
<td>The actual owner</td>
</tr>
<tr>
<td>Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulations section 1.671-1(b)(3)(i))</td>
<td>The owner</td>
</tr>
<tr>
<td>Grantor trust filing under Optional Form 1099 Filing Method 2 (see Regulations section 1.671-1(b)(3)(ii))</td>
<td>The grantor</td>
</tr>
</tbody>
</table>

### For this type of account: |

<table>
<thead>
<tr>
<th>Disregarded entity owned by an individual</th>
<th>Give name and EIN of:</th>
</tr>
</thead>
<tbody>
<tr>
<td>A trust, estate, or pension trust</td>
<td>The owner</td>
</tr>
<tr>
<td>Corporation or LLC electing corporate status on Form 8832 or Form 2553</td>
<td>Legal entity</td>
</tr>
<tr>
<td>Association, club, religious, charitable, educational, or other tax-exempt organization</td>
<td>The corporation</td>
</tr>
<tr>
<td>Partnership or multi-member LLC</td>
<td>The organization</td>
</tr>
<tr>
<td>A broker or registered nominee</td>
<td>The partnership</td>
</tr>
<tr>
<td>Account with the Department of Agriculture in the name of a public entity (such as a state local government, school district, or persons that receive agricultural program payments)</td>
<td>The broker or nominee</td>
</tr>
<tr>
<td>Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulations section 1.671-1(b)(3)(ii))</td>
<td>The public entity</td>
</tr>
</tbody>
</table>

*1 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.*

*2 Circle the minor's name and furnish the minor's SSN.

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3 You must show your individual name and you may also enter your business or D/B/A name on the "Business name/described entity" name line. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.

4 List first and circle the name of the 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. (See Special rules for partnerships on page 2.)

5 Grantor also must provide a Form W-9 to trustee of trust.

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### Secure Your Tax Records from Identity Theft

Identity theft occurs when someone uses your personal information such as your name, SSN, or other identifying information, without your permission, to commit fraud or other crimes. An identity thief may use your SSN to get a job or may file a tax return using your SSN to receive a refund.

To reduce your risk:

- Protect your SSN.
- Ensure your employer is protecting your SSN.
- Be careful when choosing a tax preparer.

If your tax records are affected by identity theft and you receive a notice from the IRS, respond right away to the name and phone number printed on the IRS notice or letter.

If your tax records are not currently affected by identity theft but you think you are at risk due to a lost or stolen purse or wallet, questionable credit card activity or credit report, contact the IRS Identity Theft Hotline at 1-800-909-4490 or submit Form 14039.

For more information, see Publication 4300, Identity Theft Prevention and Victim Assistance.

**Victims of identity theft who are experiencing economic harm or a system problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be eligible for Taxpayer Advocate Service (TAS) assistance. You can reach TAS by calling the TAS toll-free case intake line at 1-877-777-TAXA (1-877-777-8292).**

**Protect yourself from suspicious emails or phishing schemes.** Phishing is the creation and use of email and websites designed to mimic legitimate business emails and websites. The most common act is sending an email to a user falsely claiming to be an established legitimate enterprise in an attempt to scam the user into surrendering private information that will be used for identity theft.

The IRS does not initiate contacts with taxpayers via email. Also, the IRS does not request personal detailed information through email or ask taxpayers for the PIN numbers, passwords, or similar secret access information for their credit card, bank, or other financial accounts.

If you receive an unsolicited email claiming to be from the IRS, forward this message to phishing@irs.gov. You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration (TIGTA) at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at: spam@uce.gov or call them at www.ftc.gov/idtheft or 1-877-382-4339.

Visit IRS.gov to learn more about identity theft and how to reduce your risk.

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### Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons (including federal agencies) who are required to file information returns with the IRS to report interest, dividends, or certain other income paid to you; mortgage interest you pay; the acquisition or abandonment of secured property; the cancellation of debt; or contributions made to an IRA, Archer MSA, or HSA. The person collecting this form uses the information on the form to file information returns with the IRS, reporting the above information. Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation and to cities, states, the District of Columbia, and U.S. commonwealths and possessions for use in administering their laws. The information also may be disclosed to other countries under a treaty or federal and state agencies to enforce civil and 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. Under section 6109, payers must generally withhold a percentage of taxable interest, dividend, and certain other payments to a payer who does not give a TIN to the payer. Certain penalties may also apply for providing false or fraudulent information.