

# Exhibit 11

**From:** Tom Sussman <[sussmant@bluehillscivic.org](mailto:sussmant@bluehillscivic.org)>  
**Sent:** Wednesday, December 04, 2024 10:09 AM EST  
**To:** Silvia Noriega <[noriegas@bluehillscivic.org](mailto:noriegas@bluehillscivic.org)>  
**CC:** Vicki Gallon Clark <[clarkv@bluehillscivic.org](mailto:clarkv@bluehillscivic.org)>  
**Subject:** Re: Grant Award and Meeting on Thursday, September 26 at 12:15 p.m.

Thank you for following up with the bank on this matter! Hopefully, they will be able to assist with the recovery of the funds.

Given that, I believe that we would still need to transfer the funds to My People using the ACH information they provided last year, but I would suggest checking directly with Dayeshell for confirmation first. If you agree, I can do that because I spoke with her yesterday.

From a financial reporting standpoint, I would recommend considering "parking" the \$300,000 that was erroneously sent on the balance sheet for the time being while Webster works their magic.

Tom

On Wed, Dec 4, 2024 at 9:58 AM Silvia Noriega <[noriegas@bluehillscivic.org](mailto:noriegas@bluehillscivic.org)> wrote:

Good morning Tom and ms. Vicki,

I just contacted **Jerome Anderson** and explained what happened. He took all the information and said that the relationship and Lost Management will contact us to complete the affidavit. Jerome said that we need to start a police report incident. He mentioned that it is possible to get the money back in 6 months.

Jerome Anderson, ***Analyst, Implementation & Support***

#### **Treasury Management, Business Banking**

Webster Bank | 200 Executive Boulevard, Southington, CT 06489

o: 888.282-0223 e-mail: BB Treasury Support [TreasurySupportRequest@WebsterBank.com](mailto:TreasurySupportRequest@WebsterBank.com)

On Wed, Dec 4, 2024 at 9:22 AM Tom Sussman <[sussmant@bluehillscivic.org](mailto:sussmant@bluehillscivic.org)> wrote:

Vicki,

As a follow-up to the status of the funding we thought we provided to My Peoples - CT from yesterday's meeting:

- It appears that someone representing themselves as Dayeshell sent an email with their budget, W9 form, and ACH form. What we now know from Dayeshell is:
  - The email address from which the message was sent contains an "s" after people which does not exist.
  - The perpetrator was able to complete the BHCA ACH form and sign it electronically and attach it along with the other forms to what looks like the email that you sent out in late September referring to the Grant Award and Meeting...
  - Dayeshell never received the funds and yesterday discovered that all of my confirmation messages about funds being transferred went to her Spam folder.
  - The funds were transferred to the fraudulent bank account over two transactions - \$291,000 on 10/7 and \$9,000 a few days later
- Silvia is checking with Webster Bank to see if there is anything that can be done about this.
- I checked with the insurance carrier and they confirmed that BHCA does not have cyber coverage, so at this time, there's nothing they can do.

Not sure of the exact next steps, but a) Dayeshell has not received her monies - she only sent the budget and the W9 form to you on 9/27; b) these are DECD funds, so I assume that we would need to let them know; c) communications with others - the Senator, the Board?; d) wait to hear from Webster Bank.

That's what I know as right now.

Tom

----- Forwarded message -----

From: **Dayeshell Muhammad** <[dpm@mypeoples-ct.com](mailto:dpm@mypeoples-ct.com)>  
Date: Fri, Oct 4, 2024 at 12:42 PM  
Subject: RE: Grant Award and Meeting on Thursday, September 26 at 12:15 p.m.  
To: Tom Sussman <[sussmant@bluehillscivic.org](mailto:sussmant@bluehillscivic.org)>  
Cc: Vicki Gallon Clark <[clarkv@bluehillscivic.org](mailto:clarkv@bluehillscivic.org)>

Good Afternoon, Tom.

Attached are the budget, ACH completed form and the W9 for My People as per Vicki's request. Please let me know if you have any questions.

Thanks!

Dr. Dayeshell P. Muhammad, EdD

Director of Operations

111 Gillett St.

Hartford, CT 06105

860-656-0450 (office)

860-656-0491 (fax)

[www.mypeople-ct.com](http://www.mypeople-ct.com)

--

  
**Silvia Noriega**, Finance Director

Blue Hills Civic Association

410 Homestead Ave Hartford, CT 06112

Phone:  [\(860\) 560-7360](tel:(860)560-7360)Ext 301

Fax:  [\(860\) 242-0741](tel:(860)242-0741)

[www.Bluehillscivic.org](http://www.Bluehillscivic.org)

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# Exhibit 12



## Your IC3 Complaint

**Submission ID:** 2adda042eae54b0a8a01e33d3e7050a9

**Date Filed:** 12/9/2024 10:30:15 AM EST

**Were you the one affected in  
this incident?** Yes

## Your Contact Information

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**Name:** Thomas Sussman

**Business Name:** Blue Hills Civic Association

**Phone Number:** 2036102304

**Email Address:** sussmant@bluehillscivic.org

## Complainant Information

---

**Name:** Thomas Sussman

**Age:** Over 60

**Address:** 1229 Albany Avenue

**City:** Hartford

**Country:** United States of America

**State:** Connecticut

**Zip Code/Route:** 06112

**Phone Number:** 2036102304

**Email Address:** sussmant@bluehillscivic.org

## Business Information

---

**Is this on behalf of a business that was targeted by a Cyber incident?** Yes

**Business Name:** Blue Hills Civic Association

**Is the incident currently impacting business operations?** Yes

**Other Business POC:** Silvia Noriega,  
noriegas@bluehillscivic.org,  
8609068815

## Financial Transaction(s)

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**Did you send or lose money in the incident?** Yes

**What was your total loss amount?** 300,000.00

**Transaction Type:** Wire Transfer

**Was the money sent or lost?** Yes

**Transaction Amount:** 291,000.00

**Transaction Date:** 10/04/2024

**Did you contact your bank, financial institution, or cryptocurrency exchange?** Yes

**Originating Bank Name:** Webster Bank

**Originating Bank Address:** 108 Farmington Avenue  
**Originating Bank City:** Hartford  
**Originating Bank Country:** United States of America  
**Originating Bank State:** Connecticut  
**Originating Zip Code/Route:** 06105  
**Originating Name on Account:** The Blue Hills Civic Association Inc  
**Originating Account Number:** 10629383

**Recipient Bank Name:** Coastal Community Bank  
**Recipient Bank Address:** 5415 Evergreen Way  
**Recipient Bank City:** Everett  
**Recipient Bank Country:** United States of America  
**Recipient Bank State:** Washington  
**Recipient Name on Account:** No information available  
**Recipient Bank Routing Number:** 125109019  
**Recipient Account Number:** 875105471929

• • • •

**Transaction Type:** Wire Transfer  
**Was the money sent or lost?** Yes  
**Transaction Amount:** 9,000.00  
**Transaction Date:** 10/10/2024

**Did you contact your bank, financial institution, or cryptocurrency exchange?**

Yes

**Originating Bank Name:** Webster Bank

**Originating Bank Address:** 108 Farmington Avenue

**Originating Bank City:** Hartford

**Originating Bank Country:** United States of America

**Originating Bank State:** Connecticut

**Originating Zip Code/Route:** 06105

**Originating Name on Account:** The Blue Hills Civic Association Inc

**Originating Account Number:** 10629383

**Recipient Bank Name:** Coastal Community Bank

**Recipient Bank Address:** 5415 Evergreen Way

**Recipient Bank City:** Everett

**Recipient Bank Country:** United States of America

**Recipient Bank State:** Washington

**Recipient Name on Account:** No information available

**Recipient Bank Routing Number:** 125109019

**Recipient Account Number:** 875105471929

## **Information About The Subject(s)**

**Name:** Do not have this information

## Description of Incident

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**Provide a description of the incident and how you (or those you are filling this out on behalf of) were victimized. Provide information not captured elsewhere in this complaint form:**

Blue Hills Civic Association received a grant from the State of CT from which funds were to be sent to subgrantees. During the funding process, someone fraudulently used information received as part of Blue Hills' request for information and they used Blue Hills' ACH Authorization Form along with a W9 form and a completed Budget form. In the ACH authorization form, we have now learned that they used a fraudulent bank name, account number, routing number, phone number and email address in addition to forging an electronic signature for the person who was to receive the funds from the legitimate subgrantee. We have filed a police report with the City of Hartford's police department with a case number of 24-011326.

## Other Information

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**If you have reported this incident to other law enforcement or government agencies, please provide the name, phone number, email, date reported, report number, etc.**

City of Hartford - case number 24-031326 was reported in the presence of an officer who came to Blue Hills' office on 12/6/24 at 12:30 PM where he met with Silvia Noriega in person and Tom Sussman via phone.

**Is this an update to a previously filed complaint?** No

## Privacy & Signature:

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The collection of information on this form is authorized by one or more of the following statutes: 18 U.S.C. § 1028 (false documents and identity theft); 1028A (aggravated identity theft); 18 U.S.C. § 1029 (credit card fraud); 18 U.S.C. § 1030 (computer fraud); 18 U.S.C. § 1343 (wire fraud); 18 U.S.C. 2318B (counterfeit and illicit labels); 18 U.S.C. § 2319 (violation of intellectual property rights); 28 U.S.C. § 533 (FBI authorized to investigate violations of federal law for which it has primary investigative jurisdiction); and 28 U.S.C. § 534 (FBI authorized to collect and maintain identification, criminal information, crime, and other records).

The collection of this information is relevant and necessary to document and investigate complaints of Internet-related crime. Submission of the information requested is voluntary; however, your failure to supply requested information may impede or preclude the investigation of your complaint by law enforcement agencies.

The information collected is maintained in one or more of the following Privacy Act Systems of Records: the FBI Central Records System, Justice/FBI-002, notice of which was published in the Federal Register at 63 Fed. Reg. 8671 (Feb. 20, 1998); the FBI Data Warehouse System, DOJ/FBI-022, notice of which was published in the Federal Register at 77 Fed. Reg. 40631 (July 10, 2012). Descriptions of these systems may also be found at [www.justice.gov/opcl/doj-systems-records#FBI](https://www.justice.gov/opcl/doj-systems-records#FBI). The information collected may be disclosed in accordance with the routine uses referenced in those notices or as otherwise permitted by law. For example, in accordance with those routine uses, in certain circumstances, the FBI may disclose information from your complaint to appropriate criminal, civil, or regulatory law enforcement authorities (whether federal, state, local, territorial, tribal, foreign, or international). Information also may be disclosed as a routine use to an organization or individual in both the public or private sector if deemed necessary to elicit information or cooperation from the recipient for use by the FBI in the performance of an authorized activity. "An example would be

where the activities of an individual are disclosed to a member of the public in order to elicit his/her assistance in [FBI's] apprehension or detection efforts." 63 Fed. Reg. 8671, 8682 (February 20, 1998).

By typing my name below, I understand and agree that this form of electronic signature has the same legal force and effect as a manual signature. I affirm that the information I provided is true and accurate to the best of my knowledge. I understand that providing false information could make me subject to fine, imprisonment, or both. (Title 18, U.S.Code, Section 1001)

**Digital Signature:**

Thomas Sussman

# Exhibit 13

**From:** Bergstrom, Timothy <tbergstrom@websterbank.com>  
**Sent:** Friday, December 13, 2024 4:04 PM EST  
**To:** Tom Sussman <sussmant@bluehillscivic.org>  
**CC:** Silvia Noriega <noriegas@bluehillscivic.org>  
**Subject:** Re: [EXTERNAL] BHCA - Cyber Fraud

I meant to say vendor that was apparently compromised.

We made the inquiry on our end but there isn't anything more we can do.

---

**From:** Tom Sussman <sussmant@bluehillscivic.org>  
**Sent:** Friday, December 13, 2024 2:12:59 PM  
**To:** Bergstrom, Timothy <tbergstrom@websterbank.com>  
**Cc:** Silvia Noriega <noriegas@bluehillscivic.org>  
**Subject:** Re: [EXTERNAL] BHCA - Cyber Fraud

**This Message Is From an External Sender**

This message came from outside your organization.

Who is compton? In my prior experience, our financial institution, Chase, was able to help out.

On Fri, Dec 13, 2024 at 1:50 PM Bergstrom, Timothy <[tbergstrom@websterbank.com](mailto:tbergstrom@websterbank.com)> wrote:  
Tom, this is not a Webster issue. I think you will need to work with the vendor that was apparently Compton some way.

Tim

---

**From:** Tom Sussman <[sussmant@bluehillscivic.org](mailto:sussmant@bluehillscivic.org)>  
**Sent:** Friday, December 13, 2024 12:54:25 PM  
**To:** Bergstrom, Timothy <[tbergstrom@websterbank.com](mailto:tbergstrom@websterbank.com)>  
**Cc:** Silvia Noriega <[noriegas@bluehillscivic.org](mailto:noriegas@bluehillscivic.org)>  
**Subject:** [EXTERNAL] BHCA - Cyber Fraud

**This Message Is From an External Sender**

This message came from outside your organization.

Tim,

We received your note this morning about the status at Coastal Community Bank. I don't think that there are any surprises there. Given this, can you tell us whether Webster will be able to protect us through other means and reimburse us for all or a part of the \$300,000?

Thank you very much.

Tom

--

---

Thomas Sussman  
Chief Financial Officer  
BHCA  
1229 Albany Avenue  
Hartford, CT 06112  
(203) 610-2304  
BHCA Website:  
<https://www.bluehillscivic.org>  
BHCA Facebook:  
[BHCA Facebook](#)  
BHCA Instagram:  
[BHCA Instagram](#)

**Caution: This email came from outside Webster Bank.**

**PRIVILEGED AND CONFIDENTIAL:** Communications sent from Webster Financial Corporation, and our affiliates and subsidiaries, which contain sensitive information, will be sent via encrypted email. Affiliates and subsidiaries of Webster Financial Corporation include: Webster Bank (including its divisions: HSA Bank, Webster Investment Services, Webster Private Bank, Webster Business Credit and Webster Capital Finance), and Webster Wealth Advisors. This communication, including attachments, is for the exclusive use of addressee and may contain proprietary, confidential, or privileged information. If you are not the intended recipient, any use, copying, disclosure, dissemination, or distribution is strictly prohibited. If you are not the intended recipient, please notify the sender immediately by return email and delete this communication and destroy all copies.

Rates and program criteria are subject to change. All loans are subject to credit approval. Other terms and conditions may apply. Consult a Webster representative for more details.

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**PRIVILEGED AND CONFIDENTIAL:** Communications sent from Webster Financial Corporation, and our affiliates and subsidiaries, which contain sensitive information, will be sent via encrypted email. Affiliates and subsidiaries of Webster Financial Corporation include: Webster Bank (including its divisions: HSA Bank, Webster Investment Services, Webster Private Bank, Webster Business Credit and Webster Capital Finance), and Webster Wealth Advisors. This communication, including attachments, is for the exclusive use of addressee and may contain proprietary, confidential, or privileged information. If you are not the intended recipient, any use, copying, disclosure, dissemination, or distribution is strictly prohibited. If you are not the intended recipient, please notify the sender immediately by return email and delete this communication and destroy all copies.

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# Exhibit 14

**From:** Tom Sussman <sussmant@bluehillscivic.org>  
**Sent:** Friday, December 13, 2024 11:07 AM EST  
**To:** Silvia Noriega <noriegas@bluehillscivic.org>  
**Subject:** Re: Update

Silvia,

No surprise on that front.

Now the business issues are:

Disclosure

- Senator McCrory
- DECD
- Accounting
- Auditors

We need to know how they want us to handle this - for the Senator and DECD, we need to know what they want us to do.

Accounting - we are going to have to decide how to account for this.

Auditors, this will probably qualify as a subsequent event that we will need to disclose to them since they have not produced financial statements yet.

Thoughts?

Tom

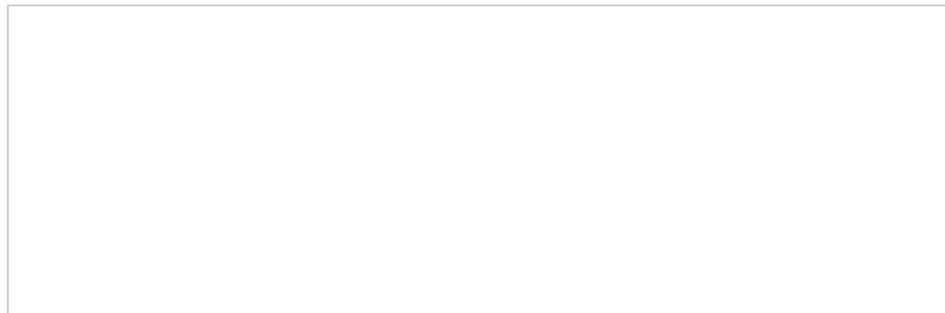
On Fri, Dec 13, 2024 at 11:03 AM Silvia Noriega <[noriegas@bluehillscivic.org](mailto:noriegas@bluehillscivic.org)> wrote:

FYI

----- Forwarded message -----

From: **Bergstrom, Timothy** <[tbergstrom@websterbank.com](mailto:tbergstrom@websterbank.com)>  
Date: Fri, Dec 13, 2024 at 11:02 AM  
Subject: Update  
To: Silvia Noriega <[noriegas@bluehillscivic.org](mailto:noriegas@bluehillscivic.org)>

Silvia, Our investigator has gotten word from Coastal Community Bank that the claim has been denied as there were no funds in the account. Tim



Financial Corporation include: Webster Bank (including its divisions: HSA Bank, Webster Investment Services, Webster Private Bank, Webster Business Credit and Webster Capital Finance), and Webster Wealth Advisors. This communication, including attachments, is for the exclusive use of addressee and may contain proprietary, confidential, or privileged information. If you are not the intended recipient, any use, copying, disclosure, dissemination, or distribution is strictly prohibited. If you are not the intended recipient, please notify the sender immediately by return email and delete this communication and destroy all copies.

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--

**Silvia Noriega**, Finance Director

Blue Hills Civic Association

410 Homestead Ave Hartford, CT 06112

Phone:  [\(860\) 560-7360](tel:(860)560-7360)Ext 301

Fax:  [\(860\) 242-0741](tel:(860)242-0741)

[www.Bluehillscivic.org](http://www.Bluehillscivic.org)

[Help support the Blue Hills Civic Association select Amazon Smile when making purchases on Amazon.](#)

□

# Exhibit 15

**From:** Tom Sussman <sussmant@bluehillscivic.org>

**Sent:** Thursday, January 23, 2025 2:06 PM EST

**To:** Vicki Gallon Clark <clarkv@bluehillscivic.org>

**Subject:** Wire Transfer Fraud

Vicki,

Letting you know that I spoke with Moriah @ Crumbie Law about this situation and her recommendation is that we should reach out to our DECD contact, describe what happened, explain that we have filed a police report and an FBI report and that the police have an investigation underway, etc. The reason for doing this is to let them know about this because it's likely that this is not the first time that they have run into this situation, but from their side, the funding comes from the Federal Government and there may need to be paperwork that they or we complete in addition to what has already been done. In an ideal situation, they would let us explain what happened and keep an additional \$300,000 of the amounts yet to be distributed to offset the fraudulent activity. Other factors to consider are letting the Senator know and the timing of the additional grants they are planning to award to BHCA. Can we come up with a game plan for the communication to the DECD?

Tom

--

---

Thomas Sussman  
Chief Financial Officer  
BHCA

1229 Albany Avenue  
Hartford, CT 06112  
(203) 610-2304

BHCA Website:  
<https://www.bluehillscivic.org>

BHCA Facebook:  
[BHCA Facebook](#)

BHCA Instagram:  
[BHCA Instagram](#)

# Exhibit 16

**From:** Tom Sussman <sussmant@bluehillscivic.org>  
**Sent:** Thursday, February 06, 2025 1:29 PM EST  
**To:** Vicki Gallon Clark <clarkv@bluehillscivic.org>  
**CC:** Silvia Noriega <noriegas@bluehillscivic.org>  
**Subject:** Re: From Important: From Vicki Gallon-Clark  
**Attachment(s):** "BHCA DECD Grant - February 6, 2025 Update.xlsx", "Blue Hills Civic Association - Accounting Policies and Procedures Manual - FY 25.docx"

Vicki,

The attached provides you with the spending that has been allocated to Subgrantees, BHCA, and the amount remaining to be allocated/used. In addition, there are some additional rows that show how the remaining funds might be used - these are just placeholders based on this email and the desire to have the Senator approve us reaching out to the DECD on the \$300,000 fraudulent transaction. You can hide or remove these lines or update the #'s as more information comes in this afternoon.

Here are the new protocols that are included in our Accounting Policies & Procedures Manual (see attached).

**1. Wire Transfers**

- a. Implement a process for ensuring wire transfers are made to the appropriate recipient:
  - i. Phone calls to connect with the recipient to verify banking information is accurate.
  - ii. Issue a wire transfer of \$1.00 to test that the wire transfer processes accurately – this includes receiving a confirmation from the recipient that the wire transfer was received.
  - iii. If the wire transfer process was completed successfully, issue a wire transfer for the balance to the recipient.
  - iv. Confirm by phone call that the recipient received the wire transfer no later than the day following the wire transfer.

With respect to the community partners, I would suggest the following:

- Send an email to each partner to inquire whether their use of the funding provided is on track or if there is anything that they need to discuss with our team. Since they are not obligated to provide all their details, I would be concerned if we asked them for a deep dive on everything that has occurred to-date. This essentially provides an opportunity for them to share if there are any issues or not.
- Include a timeline for the following:
  - May 1, send out the documents that need to be completed and returned - Budget Narrative and Budget Details
  - Timeline - due date of July 15th for submission to BHCA

Tom

On Thu, Feb 6, 2025 at 10:28 AM Vicki Gallon Clark <[clarkv@bluehillscivic.org](mailto:clarkv@bluehillscivic.org)> wrote:

Hi Tom and Silvia,

As you know, I will be meeting with Senator McCrory tomorrow. One of my objectives is to ask for additional funds for BHCA from the balance that is remaining out of the DECD Legislative funds.

Before I do, I need you all to review the balance again to ensure that I am presenting accurate numbers. Tom, I recommended to Silvia to take out the \$300,000 that was fraudulently taken to show an accurate balance. I will be asking for additional financial support for:

1. The Weaver initiative: to pay for the credentialing training and other gaps: perhaps \$200,000
2. Other workforce development initiatives to support the upcoming SYELP: \$100,000? (JL will be presenting a proposed budget today)
3. Economic Opportunities: Brian and I are meeting at 2 today to discuss what this budget would look like.
4. Technological needs. Will get more information from Victoria this morning.

Please give me in writing what is our additional protocol that we have put in place to prevent being victims of cyber security.

Also Tom, what do you suggest we use as a check in process to see where the community partners are relative to their spending of the DECD funds?

Vicki

--  
Vicki Gallon-Clark, MPA  
Executive Director

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BHCA Facebook:  
[BHCA Facebook](#)  
BHCA Instagram:  
[BHCA Instagram](#)

# Exhibit 17

**From:** Vicki Gallon Clark <clarkv@bluehillscivic.org>  
**Sent:** Monday, February 10, 2025 3:49 PM EST  
**To:** Tom Sussman <sussmant@bluehillscivic.org>  
**CC:** Silvia Noriega <noriegas@bluehillscivic.org>  
**Subject:** Re: From Important: From Vicki Gallon-Clark

Yes. He agreed that we should wait until we get the FBI investigative report and then share with the State.

On Mon, Feb 10, 2025 at 9:49 AM Tom Sussman <[sussmant@bluehillscivic.org](mailto:sussmant@bluehillscivic.org)> wrote:  
Awesome!

Were you able to discuss the fraudulent wire transfer?

Tom

On Fri, Feb 7, 2025 at 1:15 PM Vicki Gallon Clark <[clarkv@bluehillscivic.org](mailto:clarkv@bluehillscivic.org)> wrote:  
Good afternoon Tom and Silvia.

I had a very productive meeting with Senator McCrory today. We got what I requested:

\$200,000 Weaver initiative  
\$100,000 Workforce Development (SYELP start up)  
\$100,000 Economic development opportunities  
\$50,000 Marketing (to include a Digital Content Specialist for stronger social media presence)  
\$25,000 Technology (we need to discuss business cell phones, ipads, etc.)  
\$475,000 Total (for now - more coming)

I will send an email to the rest of the directors to give them an update.

Thanks for your assistance!

Vicki

On Thu, Feb 6, 2025 at 1:29 PM Tom Sussman <[sussmant@bluehillscivic.org](mailto:sussmant@bluehillscivic.org)> wrote:  
Vicki,

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Vicki

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<https://www.bluehillscivic.org>  
BHCA Facebook:  
[BHCA Facebook](#)

BHCA Instagram:  
[BHCA Instagram](#)

# Exhibit 18

**BHCA's Community Partners that Received DECD Funds  
For FY 23-24**

**Connecticut Harm Reduction Coalition, Mark Jenkins, CEO – \$100,000**

Connecticut Harm Reduction Coalition is dedicated to promoting the dignity and wellbeing of individuals and communities impacted by drug use.

The DECD funds will be used to expand the advocacy, training and services relative to drug addiction in the Greater Hartford area.

**Greater Hartford Alliance of Black Social Workers, Ken Green – \$100,000**

The Greater Hartford Alliance of Black Social Workers (GHABSW) is a group of community workers and professionals whose mission is to provide resources and skills to help the underprivileged in Hartford's community.

The DECD funds will be used to conduct a series of “healing initiatives” for residents in the North End of Hartford.

**Hartford Health Initiative, Chavon Hamilton-Burgess, Executive Director - \$150,000**

The Hartford Health Initiative is an organization that aims to improve health outcomes for families living in North Hartford, Connecticut. Its mission is to increase equitable healthcare access and improve health outcomes for residents.

The DECD funds will be used to support staff capacity, contracted services and marketing.

**My People Clinical and Community Services, Abdul Muhammad, ED – \$200,000,**

My People Clinical Services (MPCS) is a mission driven, community based social service organization established in the city of Hartford, CT in 2005 to Support, Empower, and Rebuild the lives of individuals and families. My People Community Services endeavors to build trust with the community and provide supports that have been created to help individuals heal.

The DECD funds will be used for staff capacity, employee benefits, facility costs and supplies.

**Outreach Realty Services, Roberta Hoskie, CEO - \$150,000**

Outreach Realty Servicing, LLC is a full-service Real Estate Brokerage and Consultancy that specializes in Property Management, Tenant Placement, Real Estate Investments, Buying and Selling Real Estate. “We recognize Real Estate as the number one form of Wealth Creation.”

The DECD funds will be used for staff capacity, homeownership support, facility costs and technology.

**BHCA's Community Partners that Received DECD Funds  
For FY 23-24**

**Society of Human Engagement & Business Alignment, Sonserae Ciscero, CEO - \$600,000**

The Society of Human Engagement & Business Alignment (SHEBA) is a minority and women-owned full HR support services that focuses on supporting those impacted by socio-economic and cultural challenges.

The DECD funds will be used to support staff capacity, enhance marketing and increase scholarships and/or grants.

**The Prosperity Foundation, Orsella Hughes, Executive Director – 1.1 million**

The Prosperity Foundation is a community fund established to strengthen Connecticut's Black communities in critical areas such as health, education and economic development.

The DECD funds will be used to increase staff capacity, grant making and marketing efforts.

**Upper Albany Neighborhood Collaborative, Mary Young, Program Director (UANC) - \$550,000**

The Upper Albany Neighborhood Collaborative, (UANC), is dedicated to the empowerment of Upper Albany residents through block clubs, educational programs and job, youth and economic initiatives.

The DECD funds will be used to support more community projects and youth sponsored activities.

**University of Hartford, Steven Mulready, Interim President – \$250,000**

The University of Hartford is a post-secondary academic institution centrally located adjacent to the Blue Hills community.

The DECD funds will be used to provide tutoring to Weaver students, financial aid information sessions for families, scholarships, etc.

**Wilson Gray YMCA, Aristides Hill, Executive Director – \$250,000**

The YMCA of Greater Hartford is a charitable organization that offers programs and services to help people develop their full potential.

The DECD funds will be used to support staff capacity, facility expenses, and non-employee contracted services.

**YWCA Hartford Region, Adrienne Cochran, J.D., CEO - \$500,000**

YWCA Hartford Region is dedicated to eliminating racism, empowering women and promoting peace, justice, freedom and dignity for all.

The DECD funds will be used to support staff capacity, technology and infrastructure upgrades, and participant payments.

# Exhibit 19

## **DECD FUNDING OVERVIEW**

### **DECD Agency Information:**

The Department of Economic and Community Development (DECD) is the state's lead agency responsible for strengthening Connecticut's competitive position in the rapidly changing, knowledge-based global economy.

The agency takes a comprehensive approach to economic development that incorporates community development, transportation, education, arts and culture. Specifically, the department:

- Supports existing businesses and attracts new businesses and jobs with a wide range of programs and services to help companies prosper.
- Promotes Connecticut industries and businesses here at home, throughout the country and across the globe.
- Strengthens Connecticut's communities by providing funding and technical support for local community and economic development projects.
- Helps to eliminate brownfield properties by promoting smart growth principles, strengthening public/private partnerships and providing a one-stop resource for expertise.

### **Background:**

BHCA has successfully worked with the DECD for 15 years, managing funding for diverse initiatives.

Senator McCrory identified the organizations in this packet based upon his experience and knowledge of each agency. He also determined the allocated dollar amount for each agency.

The DECD funding for the 11 community organizations is unrestricted.

### **Process:**

The allocation process is outlined in the attachment. It also includes forms the organizations completed (and will complete), as well as the interim, on-site review process. BHCA's Executive Director will be making site visits to assess program progress at each community partner agency. The ED will be accompanied by a Financial Consultant who will also review the financial progress/status as it relates to the DECD funds.

# Exhibit 20



## ACH Authorization Form

**Please provide all required information requested below:**

**Company Name:** \_\_\_\_\_

**Company Address:** \_\_\_\_\_

**Bank Name:** \_\_\_\_\_

**Account Number:** \_\_\_\_\_

**ABA/Routing Number:** \_\_\_\_\_

*(The ABA/Routing number is the 9-digit number on the bottom left of your check)*

**Account Type (check one):** Checking  Savings  Corporate

By signing below, I authorize BHCA to make ACH payments to the above listed account, and that I am the authorized account holder to whom inquiries concerning ACH transfers are to be directed.

**Authorized Representative Name:** \_\_\_\_\_

**Authorized Representative Signature:** \_\_\_\_\_

**Authorized Representative Phone Number:** (\_\_\_\_) \_\_\_\_\_

**Authorized Representative Email Address:** \_\_\_\_\_

**Date:** \_\_\_\_\_

---

BHCA USE ONLY:

ACH Payment for Invoice #: \_\_\_\_\_

ACH Total: \$ \_\_\_\_\_

ACH Date: \_\_\_\_\_

Blue Hills Civic Association  
410 Homestead Avenue, Hartford, CT 06112  
[www.bluehillscivic.org](http://www.bluehillscivic.org)  
860-560-7360  
[BHCA@bluehillscivic.org](mailto:BHCA@bluehillscivic.org)  
EIN: 06-0876558

A	B	C	D
<b>GRANT REPORTING REPORT</b>			
<b>DECD</b>			
<b>Step #1: Before the grant is received please submit the following PROJECTIONS:</b>			
4	<b>Description</b>	<b>Budget Narrative</b>	<b>Projected Amount</b>
5	<b>EX: Administrative Staff</b>	<b>\$25/hrX35 hrs/wk X 52 weeks</b>	<b>45500</b>
6	Exec/CEO Salary		
7	Salaries-Admin. Staff		
8	Salaries-Program Staff		
9	Salaries-Technical Staff		
10	Salaries - Other		
11	Employee Benefits		
12	Payroll Taxes		
13	Bonuses		
14	Other Personnel Expenses		
15	Non-employee contracted services-Administrative		
16	Non-employee contracted services-Programmatic		
17	Non-employee contracted services-Technical		
18	Other Contracted Services		
19	Occupancy costs (lease, mortgage, utilities, insur.		
20	Marketing, Publicity, Advertising		
21	Supplies and Materials		
22	Telecommunications		
23	Postage & Shipping		
24	Travel & Meetings		
25	Other-not covered above		
26	Total		
27			
28			
29	<b>Step#2 Please submit ACTUAL EXPENDITURES AT THE END OF THE GRANT PERIOD</b>		

**Narrative Questions for DECD Final Report that  
BHCA will Submit to the State**

1. Is there any additional information to share regarding how the grants funds were used?
2. Did receiving the grant funds from the State of Connecticut leverage other funding sources? If so, what source? (municipal, state, regional, national government, private, etc.)
3. Was the grant funding from the State of Connecticut used to create new or support existing jobs within your organization?
4. If yes to question number 3, indicate the number of jobs created or supported:
  - a. Number of full-time positions:
  - b. Number of part-time positions:
5. Do you collect demographic data (age, race, ethnicity, etc.) of the people served by your organization?
6. What method or process do you use to gather demographic data?
7. How does your organization utilize the data?
8. Was the State of Connecticut credited for its support?
9. Is there anything else you would like to share regarding how your organization benefited from the grant funding?

**Request for Taxpayer  
Identification Number and Certification**► Go to [www.irs.gov/FormW9](http://www.irs.gov/FormW9) for instructions and the latest information.Give Form to the  
requester. Do not  
send to the IRS.Print or type.  
See Specific Instructions on page 3.

1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.						
2 Business name/disregarded entity name, if different from above						
3 Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only <b>one</b> of the following seven boxes.						
<input type="checkbox"/> Individual/sole proprietor or single-member LLC <input type="checkbox"/> C Corporation <input type="checkbox"/> S Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=Partnership) ► <b>Note:</b> Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is <b>not</b> disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner. <input type="checkbox"/> Other (see instructions) ►						
5 Address (number, street, and apt. or suite no.) See instructions.				Requester's name and address (optional)		
6 City, state, and ZIP code						
7 List account number(s) here (optional)						

**Part I Taxpayer Identification Number (TIN)**

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN*, later.

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

Social security number							
<input type="text"/>	<input type="text"/>	-	<input type="text"/>	<input type="text"/>	-	<input type="text"/>	<input type="text"/>

or

Employer identification number									
<input type="text"/>	<input type="text"/>	-	<input type="text"/>						

**Part II Certification**

Under penalties of perjury, I certify that:

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

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

<b>Sign Here</b>	Signature of U.S. person ►
----------------------	-------------------------------

Date ►

**General Instructions**

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

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

**Purpose of Form**

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following.

- Form 1099-INT (interest earned or paid)

- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)
- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

*If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding, later.*

By signing the filled-out form, you:

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, and
4. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct. See *What is FATCA reporting*, later, for further information.

**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 under section 1446 on any foreign partners' share of effectively connected taxable income from such business. Further, in certain cases where a Form W-9 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 8233 (see Pub. 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 his or her stay in the United States exceeds 5 calendar years. However, paragraph 2 of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first protocol) and is relying on this exception to claim an exemption from tax on his or her scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

If you are a nonresident alien or a foreign entity, give the requester the appropriate completed Form W-8 or Form 8233.

## Backup Withholding

**What is backup withholding?** Persons making certain payments to you must under certain conditions withhold and pay to the IRS 24% 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 payment card and third party network transactions, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

### Payments you receive will be subject to backup withholding if:

1. You do not furnish your TIN to the requester,
2. You do not certify your TIN when required (see the instructions for Part II for details),
3. The IRS tells the requester that you furnished an incorrect TIN,
4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or
5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See *Exempt payee code*, later, and the separate Instructions for the Requester of Form W-9 for more information.

Also see *Special rules for partnerships*, earlier.

## What is FATCA Reporting?

The Foreign Account Tax Compliance Act (FATCA) requires a participating foreign financial institution to report all United States account holders that are specified United States persons. Certain payees are exempt from FATCA reporting. See *Exemption from FATCA reporting code*, later, and the Instructions for the Requester 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 are no longer an exempt payee and 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 tax exempt. 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 false information with respect to withholding.** If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a \$500 penalty.

**Criminal penalty for falsifying information.** Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

**Misuse of TINs.** If the requester discloses or uses TINs in violation of federal law, the requester may be subject to civil and criminal penalties.

## Specific Instructions

### 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 (other than an account maintained by a foreign financial institution (FFI)), list first, and then circle, the name of the person or entity whose number you entered in Part I of Form W-9. If you are providing Form W-9 to an FFI to document a joint account, each holder of the account that is a U.S. person must provide a Form W-9.

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

**Note: ITIN applicant:** Enter your individual name as it was entered on your Form W-7 application, line 1a. This should also be the same as the name you entered on the Form 1040/1040A/1040EZ you filed with your application.

b. **Sole proprietor or single-member LLC.** Enter your individual name as shown on your 1040/1040A/1040EZ on line 1. You may enter your business, trade, or "doing business as" (DBA) name on line 2.

c. **Partnership, LLC that is not a single-member LLC, C corporation, 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.

d. **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.

e. **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." See Regulations section 301.7701-2(c)(2)(iii). Enter the owner's name 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 direct owner of the entity is also a disregarded entity, enter the first owner that is not disregarded for federal tax purposes. Enter the disregarded entity's name on line 2, "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 on line 3 for the U.S. federal tax classification of the person whose name is entered on line 1. Check only one box on line 3.

IF the entity/person on line 1 is a(n) . . .	THEN check the box for . . .
• Corporation	Corporation
• Individual	Individual/sole proprietor or single-member LLC
• Sole proprietorship, or	
• Single-member limited liability company (LLC) owned by an individual and disregarded for U.S. federal tax purposes.	
• LLC treated as a partnership for U.S. federal tax purposes,	Limited liability company and enter the appropriate tax classification. (P= Partnership; C= C corporation; or S= S corporation)
• LLC that has filed Form 8832 or 2553 to be taxed as a corporation, or	
• LLC that is disregarded as an entity separate from its owner but the owner is another LLC that is not disregarded for U.S. federal tax purposes.	
• Partnership	Partnership
• Trust/estate	Trust/estate

### Line 4, Exemptions

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

#### Exempt payee code.

- Generally, individuals (including sole proprietors) are not exempt from backup withholding.
- Except as provided below, corporations are 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 attorneys' 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. Enter the appropriate code in the space in line 4.

1—An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2)

2—The United States or any of its agencies or instrumentalities

3—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their 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

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.

IF the payment is for ...	THEN the payment is exempt for ...
Interest and dividend payments	All exempt payees except for 7
Broker transactions	Exempt payees 1 through 4 and 6 through 11 and all C corporations. S corporations must not enter an exempt payee code because they are exempt only for sales of noncovered securities acquired prior to 2012.
Barter exchange transactions and patronage dividends	Exempt payees 1 through 4
Payments over \$600 required to be reported and direct sales over \$5,000 <sup>1</sup>	Generally, exempt payees 1 through 5 <sup>2</sup>
Payments made in settlement of payment card or third party network transactions	Exempt payees 1 through 4

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

<sup>2</sup> 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, attorneys' fees, gross proceeds paid to an attorney reportable under section 6045(f), 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)(37)

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(c)(1)(i)

E—A corporation that is a member of the same expanded affiliated group as a corporation described in Regulations section 1.1472-1(c)(1)(i)

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 851 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 581

K—A broker

L—A trust exempt from tax under section 664 or described in section 4947(a)(1)

M—A tax exempt trust under a section 403(b) plan or section 457(g) 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 returns. If this address differs from the one the requester already has on file, write NEW at the top. If a new address is provided, there is still a chance the old address will be used until the payor changes your address in their records.

### 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.

If you are a single-member LLC that is disregarded as an entity separate from its owner, 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 *What Name and Number To Give the Requester*, later, 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](http://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](http://www.irs.gov/Businesses) and clicking on Employer Identification Number (EIN) under Starting a Business. Go to [www.irs.gov/Forms](http://www.irs.gov/Forms) to view, download, or print Form W-7 and/or Form SS-4. Or, you can go to [www.irs.gov/OrderForms](http://www.irs.gov/OrderForms) to place an order and have Form W-7 and/or SS-4 mailed to you within 10 business days.

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 tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

**Note:** 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 item 1, 4, or 5 below indicates 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. Exempt payees, see *Exempt payee code*, earlier.

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

**1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983.** You must give your correct TIN, but you do not have to sign the certification.

**2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983.** You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

**3. Real estate transactions.** You must sign the certification. You may cross out item 2 of the certification.

**4. Other payments.** You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments 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), ABLE accounts (under section 529A), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions.** You must give your correct TIN, but you do not have to sign the certification.

## What Name and Number To Give the Requester

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account) other than an account maintained by an FFI	The actual owner of the account or, if combined funds, the first individual on the account <sup>1</sup>
3. Two or more U.S. persons (joint account maintained by an FFI)	Each holder of the account
4. Custodial account of a minor (Uniform Gift to Minors Act)	The minor <sup>2</sup>
5. a. The usual revocable savings trust (grantor is also trustee) b. So-called trust account that is not a legal or valid trust under state law	The grantor-trustee <sup>1</sup>
6. Sole proprietorship or disregarded entity owned by an individual	The actual owner <sup>1</sup>
7. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulations section 1.671-4(b)(2)(i)(A))	The owner <sup>3</sup>
	The grantor*
For this type of account:	Give name and EIN of:
8. Disregarded entity not owned by an individual	The owner
9. A valid trust, estate, or pension trust	Legal entity <sup>4</sup>
10. Corporation or LLC electing corporate status on Form 8832 or Form 2553	The corporation
11. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
12. Partnership or multi-member LLC	The partnership
13. A broker or registered nominee	The broker or nominee

For this type of account:	Give name and EIN of:
14. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity
15. Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulations section 1.671-4(b)(2)(i)(B))	The trust

<sup>1</sup> List first and circle the name of the person whose number you furnish. If only one person on a joint account has an SSN, that person's number must be furnished.

<sup>2</sup> Circle the minor's name and furnish the minor's SSN.

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

<sup>4</sup> 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 title.) Also see *Special rules for partnerships*, earlier.

**\*Note:** The grantor also must provide a Form W-9 to trustee of trust.

**Note:** If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

## 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, and
- 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 1-800-908-4490 or submit Form 14039.

For more information, see Pub. 5027, Identity Theft Information for Taxpayers.

Victims of identity theft who are experiencing economic harm or a systemic 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 1-877-777-4778 or TTY/TDD 1-800-829-4059.

### 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 emails. 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](mailto: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](mailto:spam@uce.gov) or report them at [www.ftc.gov/complaint](http://www.ftc.gov/complaint). You can contact the FTC at [www.ftc.gov/idtheft](http://www.ftc.gov/idtheft) or 877-IDTHEFT (877-438-4338). If you have been the victim of identity theft, see [www.IdentityTheft.gov](http://www.IdentityTheft.gov) and Pub. 5027.

Visit [www.irs.gov/IdentityTheft](http://www.irs.gov/IdentityTheft) to learn more about identity theft and how to reduce your risk.

## 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 paid; the acquisition or abandonment of secured property; the cancellation of debt; or contributions you 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, to 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 3406, payers must generally withhold a percentage of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to the payer. Certain penalties may also apply for providing false or fraudulent information.

**From:** Vicki Gallon Clark <clarkv@bluehillscivic.org>  
**Sent:** Tuesday, September 26, 2023 7:14 PM EDT  
**To:** markj@ct-hra.org <markj@ct-hra.org>  
**CC:** Silvia Noriega <noriegas@bluehillscivic.org>  
**Subject:** State Funding  
**Attachment(s):** "Excel Budget Template for Projected and Final Reporting.xlsx", "W9 Form.pdf", "BHCA ACH Authorization Form.pdf", "Narrative Questions for DECD Final Report.docx"

Good evening Mark.

This is a follow-up to the previous conversation.

As you know, Senator McCrory has worked diligently to ensure that our agencies receive much-needed State funding. The funding is for the fiscal year that began on July 1 and ends June 30, 2024. As of today, we are waiting for the allocated funds to be deposited. In the meantime, I am asking that you complete the following:

1. A projected budget template that is attached indicating how you will spend the funding you will be receiving.
2. Remember these are **unrestricted funds**. Your projected budget is just that, a projection of how you think you will spend the funds. The allocation for your agency is slated for \$100,000.
3. The attached W-9 Form.
4. ABHCA ACH authorization form. By completing this form, it enables us to transfer the funds from our account to yours in a seamless manner.

At the end of the fiscal year, I will request a completed budget that shows how you actually spent the money you received. I have also attached a "Narrative Questions..." document that you will also complete in June 2024. I will use this information to create an end of the year report for the State of Connecticut.

I am working on the creation of an MOU for our agencies. I will send a draft to you and we can discuss this document more when we meet with Senator McCrory. As you can imagine, trying to schedule a time and date that works for everyone is a herculean task. Currently, I have asked Senator McCrory's Assistant to provide us with additional days for next week for a lunch meeting.

You should return items identified above in 1,2 and 3 to Silvia Noriega, our Finance Director and copy me in your email. Silvia is copied in this email message so you will have her accurate email address.

In partnership,

Vicki Gallon-Clark

--  
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