



City of Clearwater  
Procurement

Jay Ravins, Department Director  
100 South Myrtle Avenue, Clearwater, FL 33756

---

**[LAKE BROTHERS LLC] RESPONSE DOCUMENT REPORT**

RFP No. 19-26

[Aquatic Site Maintenance Services](#)

RESPONSE DEADLINE: February 24, 2026 at 10:00 am

Report Generated: Tuesday, February 24, 2026

**Lake Brothers LLC Response**

**CONTACT INFORMATION**

**Company:**

Lake Brothers LLC

**Email:**

james@lakebrothersllc.com

**Contact:**

James Roehm

**Address:**

10722 59th Ave  
SEMINOLE, FL 33772

**Phone:**

(727) 421-1921

**Website:**

N/A

**Submission Date:**

Feb 23, 2026 11:14 PM (Eastern Time)

## ADDENDA CONFIRMATION

*No addenda issued*

## QUESTIONNAIRE

### 1. Exceptions\*

Proposers shall indicate any and all exceptions taken to the provisions or specifications in this solicitation document. Exceptions that surface elsewhere and that do not also appear under this section shall be considered invalid and void and of no contractual significance.

Do you have any exceptions to the provisions or specifications?

No

### 2. Additional Materials\*

Have you included any additional materials?

No

### 3. Certified Business\*

Are you a Certified Small Business or a Certified Minority, Woman or Disadvantaged Business Enterprise?

Yes

CERTIFIED BUSINESS TYPE\*

Pick one of the following.

Certified Small Business

**CERTIFYING AGENCY\***

List the Agency that provided your certification.

Pinellas County Small Business Enterprise Program; City of St. Petersburg

**CERTIFICATION DOCUMENTATION\***

Provide a copy of your certification.

Pinellas\_County\_SBE\_Approval\_Letter.pdf

SBE\_St.\_Pete\_\_Certification\_Approval\_Letter.pdf

**4. Vendor Certification\***

By submitting this response, the Vendor hereby certifies that:

- A. It is under no legal prohibition on contracting with the City of Clearwater.
- B. It has read, understands, and is in compliance with the specifications, terms and conditions stated herein, as well as its attachments, and any referenced documents.
- C. It has no known, undisclosed conflicts of interest.
- D. The prices offered were independently developed without consultation or collusion with any of the other vendors or potential vendors or any other anti-competitive practices.
- E. No offer of gifts, payments or other consideration were made to any City employee, officer, elected official, or consultant who has or may have had a role in the procurement process for the commodities or services covered by this contract. The Vendor has not influenced or attempted to influence any City employee, officer, elected official, or consultant in connection with the award of this contract.
- F. It understands the City may copy all parts of this response, including without limitation any documents or materials copyrighted by the Vendor, for internal use in evaluating respondent's offer, or in response to a public records request under Florida's public

records law (F.S. Chapter 119) or other applicable law, subpoena, or other judicial process; provided that the City agrees not to change or delete any copyright or proprietary notices.

- G. It hereby warrants to the City that the Vendor and its subcontractors will comply with, and are contractually obligated to comply with, all federal, state, and local laws, rules, regulations, and executive orders.
- H. It certifies that Vendor is not presently debarred, suspended, proposed for debarment, declared ineligible, voluntarily excluded, or disqualified from participation in this matter from any federal, state, or local agency.
- I. It will provide the commodities or services specified in compliance with all federal, state, and local laws, rules, regulations, and executive orders if awarded by the City.
- J. It is current in all obligations due to the City.
- K. It will accept all terms and conditions as set forth in this solicitation if awarded by the City.
- L. The signatory is an officer or duly authorized representative of the Vendor with full power and authority to submit binding offers and enter into contracts for the commodities or services as specified herein.

Confirmed

#### **5. E-Verify System Certification\***

***PER FLORIDA STATUTE 448.095, CONTRACTORS AND SUBCONTRACTORS MUST REGISTER WITH AND USE THE E-VERIFY SYSTEM TO VERIFY THE WORK AUTHORIZATION STATUS OF ALL NEWLY HIRED EMPLOYEES.***

The affiant, by virtue of confirming below, certifies that:

- A. The Contractor and its Subcontractors are aware of the requirements of Florida Statute 448.095.
- B. The Contractor and its Subcontractors are registered with and using the E-Verify system to verify the work authorization status of newly hired employees.
- C. The Contractor will not enter into a contract with any Subcontractor unless each party to the contract registers with and uses the E-Verify system.

- D. The Subcontractor will provide the Contractor with an affidavit stating that the Subcontractor does not employ, contract with, or subcontract with unauthorized alien.
- E. The Contractor must maintain a copy of such affidavit.
- F. The City may terminate this Contract on the good faith belief that the Contractor or its Subcontractors knowingly violated Florida Statutes 448.09(1) or 448.095(2)(c).
- G. If this Contract is terminated pursuant to Florida Statute 448.095(2)(c), the Contractor may not be awarded a public contract for at least 1 year after the date on which this Contract was terminated.
- H. The Contractor is liable for any additional cost incurred by the City as a result of the termination of this Contract.

Confirmed

#### **6. Vendor's Proposal\***

Upload a copy of your proposal with the information requested as detailed in the solicitation titled 19-26 Aquatic Site Maintenance Services.

02-24-2026\_Bid\_City\_of\_Clearwater.pdf

#### **7. Upload copies of any applicable licenses. \***

Mitch\_License\_EXP-9-26-2029.pdf

Ian\_License.png

James\_License\_Commercial\_EXP-03-31-2029\_(2).pdf

#### **8. Upload a list of any proposed equipment to be used under this contract. \***

02-24-2026\_Bid\_City\_of\_Clearwater\_Equipment\_List.pdf

#### **9. Scrutinized Company Certification\***

Please download the below documents, complete, notarize, and upload.

- [SCRUTINIZED COMPANIES AND B...](#)

Scrutinized\_Company\_Cert.pdf

**10. Compliance with Anti-Human Trafficking Laws\***

Please download the below documents, complete, and upload.

- [Compliance with 787.06 form...](#)

Anti-Human\_Trafficking.pdf

**11. W-9\***

Upload your current W-9 form. (available at <https://www.irs.gov/pub/irs-pdf/fw9.pdf>)

w9\_30JUN2025.pdf

**PRICE TABLES**

**LAKES AND PONDS**

Provide pricing that includes a per-treatment rate for annual maintenance and, if applicable, a single, all-inclusive cost for the initial one-time visit. If no initial visit is required, enter zero (“0”) in the cost per treatment column.

Site Number	Description	Annual Treatments	Unit of Measure	Cost Per Treatment	Annual Cost
9	Crest Lake	6	Each	\$200.00	\$1,200.00
9-1	Crest Lake - Initial Visit	1	Each	\$0.00	\$0.00
10	Cypress Bend Pond	6	Each	\$100.00	\$600.00
10-1	Cypress Bend Pond - Initial Visit	1	Each	\$0.00	\$0.00
12	Drew Street Pond	12	Each	\$50.00	\$600.00

[LAKE BROTHERS LLC] RESPONSE DOCUMENT REPORT  
RFP No. 19-26  
Aquatic Site Maintenance Services

---

Site Number	Description	Annual Treatments	Unit of Measure	Cost Per Treatment	Annual Cost
12-1	Drew Street Pond - Initial Visit	1	Each	\$0.00	\$0.00
15	Fire Station #48	12	Each	\$50.00	\$600.00
15-1	Fire Station #48 - Initial Visit	1	Each	\$0.00	\$0.00
17	Hampton Road Pond	6	Each	\$80.00	\$480.00
17-1	Hampton Road Pond - Initial Visit	1	Each	\$0.00	\$0.00
18	Highland Ponds	12	Each	\$100.00	\$1,200.00
18-1	Highland Ponds - Initial Visit	1	Each	\$0.00	\$0.00
21	Lake Carol	6	Each	\$50.00	\$300.00
21-1	Lake Carol - Initial Visit	1	Each	\$0.00	\$0.00
24	Lake Hibiscus	6	Each	\$100.00	\$600.00
24-1	Lake Hibiscus - Initial Visit	1	Each	\$0.00	\$0.00
25	Lake Hobart	6	Each	\$100.00	\$600.00
25-1	Lake Hobart - Initial Visit	1	Each	\$0.00	\$0.00
27	Lake Louise	6	Each	\$80.00	\$480.00
27-1	Lake Louise - Initial Visit	1	Each	\$0.00	\$0.00
28	Lake Lucille	6	Each	\$150.00	\$900.00

[LAKE BROTHERS LLC] RESPONSE DOCUMENT REPORT  
RFP No. 19-26  
Aquatic Site Maintenance Services

---

Site Number	Description	Annual Treatments	Unit of Measure	Cost Per Treatment	Annual Cost
28-1	Lake Lucille - Initial Visit	1	Each	\$0.00	\$0.00
29	Lake Tangerine	6	Each	\$50.00	\$300.00
29-1	Lake Tangerine - Initial Visit	1	Each	\$0.00	\$0.00
30	Landmark Drive	12	Each	\$100.00	\$1,200.00
30-1	Landmark Drive - Initial Visit	1	Each	\$0.00	\$0.00
34	Palmetto St. Ponds	12	Each	\$80.00	\$960.00
34-1	Palmetto St. Ponds - Initial Visit	1	Each	\$0.00	\$0.00
35	Prospect Lake	12	Each	\$200.00	\$2,400.00
35-1	Prospect Lake - Initial Visit	1	Each	\$800.00	\$800.00
36	Rice Lake	12	Each	\$100.00	\$1,200.00
36-1	Rice Lake - Initial Visit	1	Each	\$0.00	\$0.00
37	Sall's Lake	6	Each	\$100.00	\$600.00
37-1	Sall's Lake - Initial Visit	1	Each	\$0.00	\$0.00
38	Terrace Lake	6	Each	\$100.00	\$600.00
38-1	Terrace Lake - Initial Visit	1	Each	\$0.00	\$0.00
42	Westchester Lake	6	Each	\$100.00	\$600.00

Site Number	Description	Annual Treatments	Unit of Measure	Cost Per Treatment	Annual Cost
42-1	Westchester Lake - Initial Visit	1	Each	\$0.00	\$0.00
<b>TOTAL</b>					<b>\$16,220.00</b>

### CREEKS, CHANNELS, DITCHES AND GABIONS

Provide pricing that includes a per-treatment rate for annual maintenance and, if applicable, a single, all-inclusive cost for the initial one-time visit. If no initial visit is required, enter zero ("0") in the cost per treatment column.

Site Number	Description	Annual Treatments	Unit of Measure	Cost Per Treatment	Annual Cost
3	Arcturas Avenue Pond and Gabion	12	Each	\$150.00	\$1,800.00
3-1	Arcturas Avenue Pond and Gabion - Initial Visit	1	Each	\$0.00	\$0.00
4	Byram Ditch	12	Each	\$100.00	\$1,200.00
4-1	Byram Ditch - Initial Visit	1	Each	\$0.00	\$0.00
26	Lake Julia and Gabion	12	Each	\$100.00	\$1,200.00
26-1	Lake Julia and Gabion - Initial Visit	1	Each	\$0.00	\$0.00
31	Linn Lake and Gabion	12	Each	\$100.00	\$1,200.00
31-1	Linn Lake and Gabion - Initial Visit	1	Each	\$0.00	\$0.00
39	Tropic Hills and Gabion	4	Each	\$100.00	\$400.00
39-1	Tropic Hills and Gabion - Initial Visit	1	Each	\$0.00	\$0.00

Site Number	Description	Annual Treatments	Unit of Measure	Cost Per Treatment	Annual Cost
44	Channel F Gabion, Beville Road	4	Each	\$100.00	\$400.00
44-1	Channel F Gabion, Beville Road - Initial Visit	1	Each	\$0.00	\$0.00
45	Channel H Gabion - Sharkey Road	4	Each	\$100.00	\$400.00
45-1	Channel H Gabion - Sharkey Road - Initial Visit	1	Each	\$0.00	\$0.00
46	Stevenson Creek, Golf Course Gabion	4	Each	\$150.00	\$600.00
46-1	Stevenson Creek, Golf Course Gabion - Initial Visit	1	Each	\$0.00	\$0.00
<b>TOTAL</b>					<b>\$7,200.00</b>

### RIGHT-OF-WAYS

Provide pricing that includes a per-treatment rate for annual maintenance and, if applicable, a single, all-inclusive cost for the initial one-time visit. If no initial visit is required, enter zero ("0") in the cost per treatment column.

Site Number	Description	Annual Treatments	Unit of Measure	Cost Per Treatment	Annual Cost
13	Power Company Right of Way	12	Each	\$300.00	\$3,600.00
13-1	Power Company Right of Way - Initial Visit	1	Each	\$0.00	\$0.00
33	N. Old Coachman Road	6	Each	\$100.00	\$600.00
33-1	N. Old Coachman Road - Initial Visit	1	Each	\$0.00	\$0.00
40	US Highway 19 N.	6	Each	\$200.00	\$1,200.00

Site Number	Description	Annual Treatments	Unit of Measure	Cost Per Treatment	Annual Cost
40-1	US Highway 19 N. - Initial Visit	1	Each	\$0.00	\$0.00
41	West Drive	6	Each	\$80.00	\$480.00
41-1	West Drive - Initial Visit	1	Each	\$0.00	\$0.00
<b>TOTAL</b>					<b>\$5,880.00</b>

#### PARKS AND RECREATION AREAS

Provide pricing that includes a per-treatment rate for annual maintenance and, if applicable, a single, all-inclusive cost for the initial one-time visit. If no initial visit is required, enter zero ("0") in the cost per treatment column.

Site Number	Description	Annual Treatments	Unit of Measure	Cost Per Treatment	Annual Cost
1	Allen's Creek Park and Gabion	12	Each	\$2,000.00	\$24,000.00
1-1	Allen's Creek Park and Gabion - Initial Visit	1	Each	\$7,500.00	\$7,500.00
5	Cliff Stephen's Park and Gabion	12	Each	\$2,000.00	\$24,000.00
5-1	Cliff Stephen's Park and Gabion - Initial Visit	1	Each	\$13,300.00	\$13,300.00
6	Coachman Park Pond	12	Each	\$100.00	\$1,200.00
6-1	Coachman Park Pond - Initial Visit	1	Each	\$0.00	\$0.00
8	Cooper's Bayou Park	12	Each	\$80.00	\$960.00
8-1	Cooper's Bayou Park - Initial Visit	1	Each	\$0.00	\$0.00

Site Number	Description	Annual Treatments	Unit of Measure	Cost Per Treatment	Annual Cost
11	D.D. Davis Park	6	Each	\$100.00	\$600.00
11-1	D.D. Davis Park - Initial Visit	1	Each	\$0.00	\$0.00
14	Frank Tack Park	6	Each	\$150.00	\$900.00
14-1	Frank Tack Park - Initial Visit	1	Each	\$0.00	\$0.00
22	Lake Chautauqua Park	12	Each	\$200.00	\$2,400.00
22-1	Lake Chautauqua Park - Initial Visit	1	Each	\$0.00	\$0.00
23	Lake Chautauqua South	12	Each	\$200.00	\$2,400.00
23-1	Lake Chautauqua South - Initial Visit	1	Each	\$0.00	\$0.00
32	Moccasin Lake Park and Gabion	12	Each	\$150.00	\$1,800.00
32-1	Moccasin Lake Park and Gabion - Initial Visit	1	Each	\$0.00	\$0.00
<b>TOTAL</b>					<b>\$79,060.00</b>

**ENVIRONMENTAL / STORMWATER MONITORING FACILITIES**

Provide pricing that includes a per-treatment rate for annual maintenance and, if applicable, a single, all-inclusive cost for the initial one-time visit. If no initial visit is required, enter zero (“0”) in the cost per treatment column.

Site Number	Description	Annual Treatments	Unit of Measure	Cost Per Treatment	Annual Cost
2	Alligator Lake	12	Each	\$600.00	\$7,200.00

[LAKE BROTHERS LLC] RESPONSE DOCUMENT REPORT  
RFP No. 19-26  
Aquatic Site Maintenance Services

---

Site Number	Description	Annual Treatments	Unit of Measure	Cost Per Treatment	Annual Cost
2-1	Alligator Lake - Initial Visit	1	Each	\$1,200.00	\$1,200.00
7	Coachman Ridge Park and Gabion	12	Each	\$150.00	\$1,800.00
7-1	Coachman Ridge Park and Gabion - Initial Visit	1	Each	\$0.00	\$0.00
16	Glen Oaks Park	24	Each	\$500.00	\$12,000.00
16-1	Glen Oaks Park - Initial Visit	1	Each	\$600.00	\$600.00
19	Kapok Park	24	Each	\$1,000.00	\$24,000.00
19-1	Kapok Park - Initial Visit	1	Each	\$8,600.00	\$8,600.00
20	Lake Bellevue	12	Each	\$1,500.00	\$18,000.00
20-1	Lake Bellevue	1	Each	\$7,200.00	\$7,200.00
43	Woodlawn Terrace	12	Each	\$100.00	\$1,200.00
43-1	Woodlawn Terrace - Initial Visit	1	Each	\$0.00	\$0.00
<b>TOTAL</b>					<b>\$81,800.00</b>



From: Pinellas County Economic Development, Small Business Enterprise Program  
October 12, 2022  
Subject: Pinellas County Small Business Enterprise Program Application Approved

Dear James Roehm:

Congratulations! Your application for designation as a Small Business Enterprise in the SBE Program is approved. The approval is contingent upon your firm successfully completing the eligibility listed below. We have designated Lake Brothers LLC as eligible to [continue to] participate in the SBE program, and sheltered market program with an effective date of 10/11/2022. This certificate is specific to Pinellas County and covers only the company that is listed in this letter, not any other company with which you may be associated. Your firm will appear on the list of approved registered vendors.

As part of our SBE program, **we do require you to register your business** in our SBDC system as well. This registration will make it easier to sign up for classes and any time you need one-on-one free counseling for questions with procuring contracts with Government (County or Federal). Please visit our website, at <https://www.pced.org/page/Consulting>, to register and learn more or call 727-453-7200 for your consultation. During the registration process it will ask for nature of "counseling requested", select from any of the boxes you wish and then scroll down to the bottom and in the additional area please indicate "*Pinellas County SBE*" in the text box.

**Your firm has 90 days to participate in business development education and/or consulting services as part of the eligibility below. You have been in business less than 2 - 4 hours of business development services (inclusive of training workshops and consulting is required).**

**Please visit our website, at <https://pinellas.obsres.com/economic/Info.aspx?EventID=3005>, to register and learn more or call 727-453-7200 for your consultation. Failure to complete the workshop and/or consulting session could result in removal from the program.**

Form Name: Pinellas County Small Business Enterprise Program Application  
Business: Lake Brothers LLC  
Contact: James Roehm  
Submission Date: 10/11/2022  
Review Date: 10/12/2022  
Expiration Date: 10/11/2025

Your approved Pinellas County Small Business Enterprise Program Application will expire 10/11/2025. If there are changes to your business, please contact staff to ensure the most accurate representation of your business. This includes changes to your company contacts, products, or services.

Thank you for your continued interest in participating with Pinellas County and the SBE Program. If you have any additional questions please email us at [Businesshelp@pinellascounty.org](mailto:Businesshelp@pinellascounty.org) or call 727-453-7200.

PINELLAS COUNTY  
SMALL BUSINESS ENTERPRISE  
PROGRAM

THIS CERTIFICATE IS AWARDED TO

**Lake Brothers LLC**

HAS SUCCESSFULLY COMPLETED THE  
SBE Certification Requirements for:  
Lake Maintenance  
Certification Expires:  
10/11/2025



Approved:

**10/12/2022** SIGNED, Corey McCaster



**From:** "City of St. Petersburg" <[stpete@gob2g.com](mailto:stpete@gob2g.com)>  
**Date:** May 28, 2025 at 2:01:10 PM EDT  
**To:** [james@lakebrothersllc.com](mailto:james@lakebrothersllc.com)  
**Subject:** St. Pete: Certification Approval Letter  
**Reply-To:** "City of St. Petersburg" <[stpete@gob2g.com](mailto:stpete@gob2g.com)>



James Rohen  
Lake Brothers LLC  
10722 59th Ave  
Seminole, FL 33772

Certification Date: 5/28/2025  
Renewal Date: 5/28/2028

RE: Small Business Enterprise (SBE) Certification, City of St. Petersburg

Dear James Rohen:

The City of St. Petersburg's Office of Supplier Diversity is pleased to inform you that your firm's certification has been approved as a Small Business Enterprise (SBE).

Your certification is valid through 5/28/2028. Small Business Enterprise (SBE) certification qualifies your company to compete and bid on City of St. Petersburg projects as a small owned and operated company. It is not an automatic guarantee that your company will receive work. Your firm's identification number is 145308.

We have also added your firm to the City of St. Petersburg's certified directory, which can be accessed at <https://stpete.gob2g.com/> respectively.

If you have any questions regarding your certification, you may email us at: [OSD@stpete.org](mailto:OSD@stpete.org).



INVITATION TO BID:

# City of Clearwater Aquatic Site Maintenance Services

**Project ID:** 19-26 [LINK](#)

**Due:** February 24, 2026 at 10:00am

## We know lakes.

**Lake Brothers, LLC.**

10722 59th Ave  
Seminole FL 33772  
(727) 421-1921

# Contents

- Letter of Transmittal.....2**
- Our Experience and Qualifications..... 4**
  - Municipal Experience.....4
  - Public Sector Experience.....5
  - Regulatory Compliance and Experience in Sensitive Areas.....6
  - Proposed Project Team & Qualifications..... 7
- Project Approach and Methodology..... 9**
  - Phase 1: System Reset (0–3 Months)..... 9
  - Phase 2: Stabilization (3–9 Months)..... 9
  - Phase 3: Long-Term Maintenance (Ongoing)..... 9
  - Program Framework: Four Integrated Layers..... 10
  - Observations & Recommended Treatment Strategy..... 11
  - Equipment List..... 14
  - Treatment Strategy Summary..... 14
- Environmental Stewardship and Sustainability.....15**
  - Commitment to Environmental Stewardship..... 15
  - Use of Best Management Practices..... 15
  - Minimizing Environmental Impact..... 16
  - Long-Term Ecological Approach..... 16
  - Alignment with City Goals..... 16
- Responsiveness and Service Philosophy..... 17**
  - Primary Project Contact..... 17
- References..... 18**
- Cost of Services..... 20**
  - Location..... 20
  - Initial Treatment Cost..... 20
- Conclusion..... 20**

# Letter of Transmittal

City of Clearwater Aquatic Site Maintenance Services  
Project ID: 19-26

Lake Brothers is pleased to submit this proposal to provide aquatic site maintenance services for the City of Clearwater. As a Florida-based firm with extensive experience managing lakes, wetlands, and stormwater systems throughout the Tampa Bay region, we offer a proven ability to restore heavily impacted water bodies and maintain them to consistent, high-performance standards.

Lake Brothers aligns directly with the City's evaluation priorities through demonstrated municipal experience, a clear and effective technical approach, qualified personnel, and a strong commitment to responsiveness and environmental stewardship. Our team has successfully managed conditions similar in scope and complexity to those outlined in this solicitation, including dense invasive vegetation, restricted water flow, and multi-site coordination across public-facing environments.

We understand the City's requirement to maintain less than five percent (5%) nuisance and exotic vegetation across all designated sites. Based on current conditions, several locations will require an initial restoration phase, we've outlined this approach in the attached methodology section. Lake Brothers is prepared to rapidly assess all locations, prioritize high-need areas, and implement a phased treatment strategy that restores system balance while minimizing environmental risk. Following restoration, we will transition to a proactive maintenance program designed to sustain compliance and prevent reoccurrence.

Key strengths of our proposal include:

- **Proven Local Experience** Proven performance managing aquatic systems for municipalities and public-sector clients throughout the Tampa Bay area, including restoration of heavily infested water bodies and ongoing maintenance of high-visibility sites.
- **Clear, Phased Technical Approach**  
A structured methodology that includes assessment, targeted restoration, and long-term maintenance—ensuring both immediate results and sustained system performance.
- **Qualified, Licensed Personnel**  
FDACS-licensed applicators trained in plant identification, herbicide application, and

best management practices, supported by experienced field staff and direct owner oversight.

- **Responsive, Accountable Service Model**

Owner-led project management ensures clear communication, rapid response times, and consistent quality control throughout the duration of the contract.

- **Environmentally Responsible Practices**

Implementation of integrated aquatic plant management strategies aligned with industry standards to protect water quality, minimize non-target impacts, and support long-term ecological health.

Lake Brothers will provide all labor, equipment, materials, supervision, and reporting necessary to perform the required services in full compliance with all applicable federal, state, and local regulations. Our team is committed to delivering reliable, high-quality service that supports the City's goals of maintaining safe, functional, and environmentally sound water bodies.

James Roehm, Owner of Lake Brothers, will serve as the primary point of contact and will remain actively involved in all aspects of project execution. This hands-on approach ensures accountability, responsiveness, and a strong working partnership with City staff.

We appreciate the opportunity to submit this proposal and look forward to supporting the City of Clearwater in restoring and maintaining its aquatic systems.

**Sincerely,**  
**Lake Brothers LLC**

# Our Experience and Qualifications

Lake Brothers brings hands-on experience managing aquatic systems that closely match the scope, environmental conditions, and operational complexity outlined in this RFP. Our work throughout the Tampa Bay area demonstrates our ability to restore and maintain heavily impacted water bodies, particularly those affected by dense invasive vegetation and variable water flow.

## Municipal Experience

### *City of Largo – New Haven Ponds*

Lake Brothers restored the New Haven Ponds system, where water bodies were heavily infested with hydrilla, water hyacinth, and water lettuce. These conditions significantly restricted water flow and degraded the overall system function.

In addition to the ponds, the City's drainage ditches were overrun with water lettuce and duckweed. Lake Brothers implemented a targeted treatment and maintenance plan that restored these waterways to stable, maintainable conditions.

#### **Key Results:**

- Ponds had ~80% coverage of hydrilla and 50% coverage of hyacinth. Lake Brothers reduced coverage of hydrilla and hyacinth to <1% within 90 days.
- Drainage ditches had 100% coverage of water lettuce, coverage was reduced to <1% in less than 60 days.

#### **Relevance to Clearwater:**

- Comparable to conditions at **Cliff Stephens Park** and **Kapok Park** where nuisance vegetation covers ~80% of each waterbody.
- Flowing water conditions requiring adaptive treatment strategies
- Multi-site system requiring coordinated maintenance

#### **Reference:**

For additional details on this project, contact Andre Frazier at 727-687-9069

## ***City of Seminole – Dogleg Lake***

Lake Brothers currently manages aquatic vegetation at Dogleg Lake, where recurring floating weed blooms require proactive monitoring and responsive treatment. These conditions are similar to the City of Clearwater’s Alligator Lake and Glen Oaks Park. Lake Brothers began servicing Dogleg Lake in January 2026 and the location has already seen notable improvements.

### **Key Results:**

- Pond was 80% covered in duckweed. Reduced to <1% in 30 days.

### **Relevance to Clearwater:**

- Similar floating weed patterns to **Alligator Lake** and **Glen Oaks Park**
- Requires ongoing maintenance vs. one-time remediation
- Demonstrates ability to manage dynamic environmental conditions

### **Reference:**

For first-hand knowledge on this location and the project’s progress, contact Barbara Dunn at (727) 397-6383.

## **Public Sector Experience**

### ***Pinellas County Schools – Multiple Campuses***

Lake Brothers currently services Pinellas County Schools. At two locations, Boca Ciega High School and Sawgrass Lake Elementary, floating invasive vegetation had overtaken the majority of the lake’s surface area, similar to current conditions at the City of Clearwater’s Lake Bellevue. Through consistent monitoring and treatment, Lake Brothers restored and maintained open water conditions and improved the overall system usability.

### **Key Results:**

- Complex contract including 46 school properties with a total of 124 ponds.
- Several locations were significantly neglected prior to Lake Brothers taking on this contract. We worked closely with the Project Coordinator to establish restoration goals and achieve 95% reduction of nuisance vegetation across all locations.

- Locations require coordination with HPO personnel for access to complete monthly treatments; Lake Brothers has over 11 months of successful communication with 0 lapses in treatment plans.
- All aquatic technicians assigned to the project completed the PCSB Level 2 background screening requirements for access.
- When service calls arise, Lake Brothers has consistently provided 24hr response time, or better.

#### **Relevance to Clearwater:**

- Comparable to **Lake Bellevue** conditions with large-scale floating vegetation management
- Ongoing maintenance plans are required to prevent regrowth
- High-visibility public-facing environments

#### **Reference:**

For details on Lake Brother's performance at these locations, contact Mike Hooper at 727-554-3813.

## **Regulatory Compliance and Experience in Sensitive Areas**

Lake Brothers performs all aquatic maintenance services in full accordance with applicable federal, state, and local regulations. Our team understands the importance of regulatory compliance when working within public water systems and approaches each site with careful attention to environmental responsibility and operational safety.

All aquatic herbicide applications are performed by Florida Department of Agriculture and Consumer Services (FDACS) licensed applicators. Treatments are conducted in strict accordance with product label requirements and established best practices to ensure safe and effective application. Lake Brothers utilizes EPA-approved aquatic herbicides and applies them selectively, taking into account site-specific conditions such as water flow, weather, and surrounding habitats.

Our team operates with an understanding of the guidelines and expectations set forth by key regulatory agencies, including the Florida Department of Environmental Protection, Southwest Florida Water Management District, and Florida Fish and Wildlife Conservation



James also has direct, hands-on experience working within the City of Clearwater’s environmentally sensitive areas through his collaboration with the former City Biologist Ricky Hess. During that time, James worked extensively across a range of the City’s sensitive environments including lakes, wetlands, natural areas, and stormwater systems, utilizing equipment such as airboats, harvesters, and gabion treatment systems. This firsthand experience provides a strong understanding of the unique conditions and operational demands associated with the City’s aquatic systems outlined in this bid.

James supported the City of Clearwater’s projects for approximately one year and maintained a positive working relationship throughout his tenure on the contract.

### **Key Lake Brothers Personnel**

<b>Personnel</b>	<b>FDACS Licence</b>	<b>Qualifications</b>
<b>James Roehm</b> Owner & President	CM28915	<ul style="list-style-type: none"> <li>● 15 years of experience servicing public, municipal and privately owned lakes, ponds and wetlands</li> <li>● Previously assigned as Aquatic Technician to service the locations outlined in this bid</li> <li>● Aquatics, Natural Areas, Public Health, and Right-of-Way Licenses</li> </ul>
<b>Ian Matthews</b> Aquatic Technician	CM28218	<ul style="list-style-type: none"> <li>● 5 years of experience servicing public, municipal and privately owned lakes, ponds and wetlands</li> </ul>
<b>Mitchell Brown</b> Aquatic Technician	CM500361	<ul style="list-style-type: none"> <li>● 1 years of experience servicing public, municipal and privately owned lakes, ponds and wetlands</li> </ul>
<b>Jason Marks</b> Aquatic Technician	<i>Pending; will operate under supervision of a licensed applicator until active.</i>	<ul style="list-style-type: none"> <li>● 10 years of experience servicing public, municipal and privately owned lakes, ponds and wetlands</li> </ul>

# Project Approach and Methodology

Lake Brothers delivers more than vegetation control—we restore balance to aquatic ecosystems. By addressing both **symptoms (plant overgrowth)** and **causes (nutrient loading and organic buildup)**, our program will deliver water bodies that are easier to maintain, healthier for the environment, and more cost-effective over the life of the contract.

Most aquatic maintenance programs rely heavily on repeated herbicide applications. Lake Brothers takes a systems-based approach, combining biological control (Triploid Grass Carp), physical nutrient removal (mechanical harvesting), nutrient remediation (water quality treatments utilizing Alum or Phoslock), microbial nutrient reduction (probiotics) and precision intervention (selective herbicides). This integrated strategy reduces inputs over time, improves system resilience, and delivers more sustainable, long-term results.

## Phase 1: System Reset (0–3 Months)

- Mechanical harvesting to remove dense invasive vegetation and restore water flow and site access (biomass)
- Initial selective herbicide treatments for rapid immediate vegetation reduction
- Stocking of Triploid Grass Carp (as appropriate)
- Initial probiotic and water quality treatments

Outcome: Rapid reduction of excessive vegetation and improved system access

## Phase 2: Stabilization (3–9 Months)

- Continued probiotic treatments to reduce nutrient load
- Reduced herbicide use as biological controls begin to take effect
- Targeted follow-up treatments for regrowth
- Monitoring of dissolved oxygen and vegetation response

Outcome: System begins to self-regulate with reduced intervention

## Phase 3: Long-Term Maintenance (Ongoing)

- Routine monitoring and adaptive management
- Minimal, targeted herbicide applications
- Sustained biological and microbial treatment program

- Periodic mechanical removal as needed

Outcome: Stable, balanced system with significantly reduced chemical dependency

## **Program Framework: Four Integrated Layers**

The three phases above establish the progression of restoration, stabilization, and maintenance. The following framework defines the core management strategies applied throughout each phase, ensuring a coordinated, multi-layered approach to vegetation control and long-term system health.

### **1. Biological Control: Triploid Grass Carp**

Triploid Grass Carp are used as a long-term vegetation management tool to reduce submerged plant biomass naturally. Lake Brothers will work closely with the city to help with permitting and build migration barriers upon request. This provides continuous, low-cost vegetation control between service visits, reducing the need for repeated chemical treatments.

### **2. Mechanical Harvesting & Biomass Removal**

Mechanical removal is used strategically to reset heavily impacted systems and physically remove nutrient-loaded biomass. Removing plant biomass physically exports nutrients from the system—something herbicides alone do not accomplish.

### **3. Proactive Water Quality & Probiotic Treatments**

Microbial/probiotic and water quality treatments accelerate breakdown of organic muck and reduce nutrient levels. This reduction in Phosphorous and Nitrogen will reduce algae blooms and improve water clarity, therefore reducing required herbicide use.

### **4. Selective Herbicide Application (Targeted Use Only)**

Herbicides remain a tool—but are used strategically, not routinely. We apply only where necessary for invasive or nuisance species and use spot treatments instead of broad-scale application. We use EPA-approved aquatic herbicides by FDACS-licensed applicators. Rotation of herbicide modes of action help prevent herbicide tolerance, therefore reducing the amount of herbicide used per application. Herbicides are used to support control, not drive the entire program.

## Observations & Recommended Treatment Strategy

Upon release of this solicitation, Lake Brothers conducted site visits to assess existing conditions and overall scope. Many water bodies show signs of inconsistent maintenance—some can be easily restored through routine management, others have been heavily impacted by dense invasive vegetation and will require a more strategic restoration approach.

Lake Brothers recognizes the City's requirement to maintain less than five percent (5%) nuisance and/or exotic vegetation. Due to current site conditions, several water bodies exceed this threshold and will require an initial restoration phase to bring vegetation levels into compliance. Once restored, Lake Brothers will implement a consistent maintenance program to sustain this standard.

Successful restoration in these conditions requires increased service frequency, adaptive treatment methods, and the use of specialized equipment. We've outlined the locations requiring substantial initial treatments below. All other locations will follow the recommended maintenance schedule as outlined by the City of Clearwater.

The following locations will require the most immediate attention due to the severity of invasive vegetation and overall site conditions:

### ***Allen's Creek Park and Gabion***

Significant overgrowth of invasive vegetation has limited navigability and restricted access. Mechanical harvesting will be required initially to restore access for airboat operations. Once access is re-established, ongoing treatment can be performed more effectively to recapture lost waterways.

**Treatment Breakdown:** Approximately 3 days of mechanical harvesting and additional aquatic weed control.

**Initial Treatment Cost: \$5,500**

### ***Alligator Lake***

Dense perimeter vegetation is limiting access to open water and will require targeted treatment to reopen the system. Upland areas will also require selective basal bark

treatments, particularly for invasive species such as Brazilian pepper. A portable boat will be utilized to access restricted or difficult-to-reach areas.

**Treatment Breakdown:** Time & materials for upland/natural area work; Garlon 3A + Garlon 4A Application + 10oz Flumioxazin; Additional shoreline grass and brush applications as needed.

**Initial Treatment Cost: \$1,200**

### ***Cliff Stephen's Park and Gabion***

This site is heavily impacted by hydrilla and water hyacinth, with large areas of dense coverage. Restoration may require a combination of 14-foot Carolina Skiffs, airboats, and 6x4 Gators and mechanical harvester to effectively treat both open water and perimeter areas. Due to the extent of coverage, restoration will occur over multiple months. The majority of the dense Hydrilla treated with Procellacor on the initial treatment will show results in 7 days. Initial treatment cost will include the use of Procellacor, an EPA-approved and highly effective herbicide to produce quick results.

**Treatment Breakdown:** Application of 246PDU Procellacor, Airboat work and additional aquatic weed control.

**Initial Treatment Cost: \$13,300**

### ***Glen Oaks Park***

This site is experiencing significant water lettuce blooms. The initial treatment will include a proactive approach using Flumioxazin for systemic treatments, supported by airboats and Carolina Skiffs, to bring the system under control and prevent recurring overgrowth.

**Treatment Breakdown:** Application of 60oz Flumioxazin and additional aquatic weed control.

**Initial Treatment Cost: \$600**

### ***Kapok Park***

Similar to Cliff Stephen's Park, this site is heavily impacted by hydrilla and water hyacinth, with large areas of dense coverage. Restoration may require a combination of 14-foot Carolina Skiffs, airboats, and 6x4 Gators and mechanical harvester to effectively treat both open water and perimeter areas. Due to the extent of coverage, restoration will occur over multiple

months. The majority of the dense Hydrilla treated with Procellacor on the initial treatment will show results in 7 days. Initial treatment cost will include the use of Procellacor, an EPA-approved and highly effective herbicide to produce quick results.

**Treatment Breakdown:** Application of 152 PDU Procellacor and additional aquatic weed control.

**Initial Treatment Cost: \$8,600**

### ***Lake Bellevue***

Lake Bellevue requires systemic hydrilla management, the initial treatment will include the use of Fluridone to achieve effective control. There is also excessive water hyacinth growth requiring attention. Due to the extent of infestation, increased treatment frequency and may use of multiple equipment types (airboats, skiffs, 6x4 Gators and Harvester) will be necessary during the restoration phase.

**Treatment Breakdown:** Application of 310 Fluridone and additional aquatic weed control.

**Initial Treatment Cost: \$7,200**

### ***Prospect Lake***

This lake is 90% covered in topped out Hydrilla and requires a systemic Hydrilla treatment. Due to the extent of the submersed vegetation, treatment results will take approximately 90 days.

**Treatment Breakdown:** Application of 40oz Fluridone and additional aquatic weed control.

**Initial Treatment Cost: \$800**

### ***Mechanical Harvesting***

Additional mechanical harvesting services will be scheduled as needed to support the City's nuisance vegetation management goals and maintain performance standards. These services will be coordinated with the City in advance, and associated costs will not exceed \$7,500 without prior written approval. Mechanical harvesting would benefit Allen's Creek park, Cliff Steven's park and others, as the budget allows.

## ***All Other City of Clearwater Locations***

Initial treatments for other sites are covered in City of Clearwater's recommended routine maintenance program. All other sites are treated to the bid specifications, with frequency and pricing provided in the Bid Pricing Sheet.

## **Equipment List**

Our equipment inventory is carefully selected to support efficient, safe, and environmentally responsible operations. Each asset plays a specific role in executing vegetation management activities with precision and reliability.

- Electric boat motors
- Electric pumps and sprayers
- Machettes, pruners, additional hand tools
- Chainsaws and brushcutters
- Gator 6x4s and ATVs equipped with spray systems
- Watercraft such as 14 ft Carolina Skiffs or other small, portable boats and kayaks
- Backpack spray systems
- Airboats with sprayers
- Weedos (mechanical removal)

## **Treatment Strategy Summary**

Lake Brothers' methodology is based on real-world site conditions, not assumptions. By combining the right equipment and appropriate treatment methods, we are prepared to restore these water bodies to 5% or less nuisance vegetation, safely and effectively, while setting them up for sustainable long-term maintenance.

Upon the award of the contract, work schedules will be coordinated with the City to ensure consistent maintenance coverage and rapid response to emergent conditions.

# Environmental Stewardship and Sustainability

Lake Brothers takes a practical, responsible approach to aquatic maintenance, with a focus on protecting water quality, supporting healthy ecosystems, and keeping public water bodies functioning as intended. Our goal is to manage vegetation in a way that solves problems without creating new ones—both immediately and over time.

Our team has direct experience working within sensitive aquatic environments, including littoral shelves, wetland mitigation areas, and vegetated shorelines, where maintaining habitat integrity is critical. Treatments are carefully planned to protect these zones, ensuring water flow and system function are maintained without disrupting wildlife habitat or desirable plant communities. This approach aligns with best practices established by University of Florida IFAS and supports the City's goal of maintaining healthy, functional, and environmentally responsible aquatic systems.

## Commitment to Environmental Stewardship

We approach each site as part of a larger system. That means we're not just treating plants—we're paying attention to how the water moves, what role the vegetation is playing, and how the area is being used.

Our focus is on maintaining control of invasive species before they become overwhelming. By staying ahead of heavy infestations, we're able to use less product overall and avoid more aggressive treatments later on. This leads to more stable conditions and better long-term results.

## Use of Best Management Practices

Lake Brothers follows established best management practices to guide how and when treatments are applied. Every site is a little different, so our approach is always based on current conditions rather than a one-size-fits-all plan.

This includes:

- Applying treatments only where needed
- Using EPA-approved aquatic herbicides
- Accounting for weather, water flow, and seasonal changes

- Avoiding unnecessary disturbance to surrounding vegetation and habitat
- Selective hand removal and spot spraying within littoral shelves, mitigation areas, natural areas and native living shorelines

Our team is consistently observing site conditions and adjusting as needed to keep treatments both effective and environmentally responsible.

## **Minimizing Environmental Impact**

We make a conscious effort to avoid over-treatment. Aquatic vegetation plays an important role in water systems, and removing too much too quickly can create its own set of issues.

By working on a regular schedule and addressing problems early, we're able to keep systems under control without large-scale disruptions. Treatments are applied carefully to limit impact on non-target species and to maintain the overall balance of the system.

## **Long-Term Ecological Approach**

Aquatic systems are always changing, especially in Florida. Because of that, our work is focused on ongoing management rather than short-term fixes.

We track how sites respond over time, adjust treatment plans as conditions shift, and focus on keeping systems stable and manageable. This approach helps prevent recurring large-scale issues and supports healthier water bodies in the long run.

## **Alignment with City Goals**

Lake Brothers understands the importance of maintaining water bodies that are both functional and environmentally sound, especially in public spaces. Our approach is aligned with the City's goals of protecting natural resources while maintaining safe and usable environments.

We aim to be a reliable partner by providing consistent service, clear communication, and a straightforward approach to managing aquatic systems responsibly.

# Responsiveness and Service Philosophy

Lake Brothers differentiates itself through responsiveness and strong working relationships. As a smaller, owner-involved firm, Lake Brothers is able to adapt quickly to site conditions, address concerns promptly, and maintain consistent communication with City staff.

- Response to Inquiry (phone or email): 12 hrs
- On-site response: 48 hrs
- Emergency Response: 24 hrs or less

## Primary Project Contact

James Roehm, Owner of Lake Brothers LLC will serve as the primary contact throughout the duration of the contract. James will ensure proper completion of the work and provide prompt communication and remediation regarding any City concerns, and be available to meet with the City representative to discuss any issues or concerns related to contract performance. This hands-on approach ensures issues are resolved quickly and services are delivered with care and professionalism.

# References

Lake Brothers is happy to provide these references for similar services performed within the past five (5) years. We invite the City of Clearwater to contact these references to learn more about their experiences working with Lake Brothers.

## **Andre Frazier, Stormwater Supervisor**

(727) 687-9069 | [afrazier@largo.com](mailto:afrazier@largo.com)

**Project:** Largo Public Works  
**Location of Service:** Largo Public Works Streets and Stormwater Building  
201 Highland Ave, Largo, FL 33770  
**Dates:** Dec 2023 - Current  
**Description of Services:** New Haven Aquatic and Algae Weed Control

---

## **Greg Wright, Assistant Park Superintendent**

(727) 512-2023 | [gwright@largo.com](mailto:gwright@largo.com)

**Project:** City of Largo Parks and Recreation  
**Location of Service:** Parks Throughout Largo  
7 lakes total  
**Dates:** June 2024 - Current  
**Description of Services:** Largo Parks Aquatic Weed and Algae Control

---

## **Barbara Dunn, Stormwater Compliance Specialist**

(727) 397-6383 | [bdunn@myseminole.com](mailto:bdunn@myseminole.com)

**Project:** City of Seminole  
**Location of Service:** Parks Throughout Seminole  
2 lakes total  
**Dates:** October 2025 - Current  
**Description of Services:** Seminole Parks Aquatic Weed and Algae Control

---

## **Mike Perry, Sr. Stormwater Operations Manager**

(727) 893-7759 | michael.perry@stpete.org

**Project:** City of St. Petersburg

**Location of Service:** 175 5th St N  
St. Petersburg, FL 33701

**Dates:** Dec. 2023 - Current

**Description of Services:** As Needed Special Services to Assist Team With Challenging Stormwater Circumstances

---

**Michael Hooper, *Project Coordinator***

(727) 554-3813 | HOOPERMIC@pcsb.org

**Project:** City of Seminole

**Location of Service:** Various waterbodies across multiple Pinellas County Schools

**Dates:** Dec. 2023 - Current

**Description of Services:** 124 Lakes Maintained Throughout the Pinellas County School System

---

# Cost of Services

Lake Brothers offers competitive pricing while maintaining high service quality and responsiveness. As a smaller, local organization with efficient operations, Lake Brothers is able to deliver strong value without sacrificing performance or reliability.

Pricing reflects an all-inclusive approach covering labor, equipment, materials, reporting, and compliance requirements as outlined in the solicitation. Pricing is submitted as proposed without multi-year or volume-based discount structures.

The following locations require additional initial treatment costs as outlined in the Project Approach and Methodology section.

<b>Location</b>	<b>Initial Treatment Cost</b>
Allen's Creek Park and Gabion	\$5,500
Alligator Lake	\$1,200
Cliff Stephen's Park and Gabion	\$13,300
Glen Oaks Park	\$600
Kapok Park	\$8,600
Lake Bellevue	\$7,200
Prospect Lake	\$800

## Conclusion

Lake Brothers is ready to be a reliable, hands-on partner to the City of Clearwater. We take pride in doing this work the right way—balancing effectiveness with environmental responsibility, and responsiveness with consistency. Our team understands the challenges these systems present and is prepared to step in, restore control where needed, and maintain that standard over time. We look forward to the opportunity to work alongside the City and contribute to the long-term health and usability of its aquatic resources.

**Florida Department of Agriculture and Consumer Services  
Bureau of Licensing and Enforcement  
Commercial Applicator  
License # CM500361**


Brown, David  
11308 Marlee Court  
Tampa, FL 33635

Categories  
5A

**Issued:** 09/26/2025

**Expires:** 09/26/2029

\_\_\_\_\_  
Signature of Licensee

  
\_\_\_\_\_  
WILTON SIMPSON, COMMISSIONER

The above individual is licensed under the provisions of Chapter 487, F.S. to purchase and apply restricted use pesticides.

Florida Department of Agriculture and Consumer Services

License Categories

1A1 Ag Row Crop	5B Organotin Paint
1A2 Ag Tree Crop	6 Right of Way
1B Ag Animal	7A Wood Treatment
1C Private Applicator Ag	7B Chlorine Gas Infusion
1D Soil and Greenhouse Fum	7C Sewer Root Control
1E Raw Ag Commodity Fum	9 Regulatory Pest Control
2 Forest Pest Control	10 Demonstration and Research
3 Ornamental and Turf	11 Aerial Application
4 Seed Treatment	20 Regulatory Insp. and Samp
5A Aquatic Pest Control	21 Natural Areas Weed Mgmt

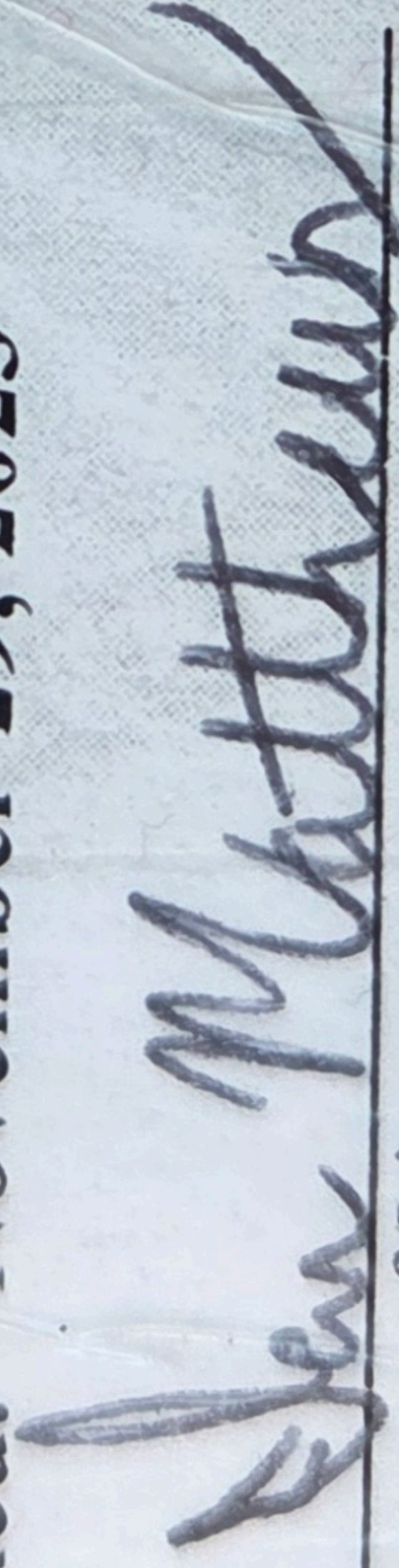
Florida Department of Agriculture and Consumer Services  
Pesticide Certification Office  
Commercial Applicator License  
License # CM28218

MATTHEWS, IAN  
13303 WHISPERING PALMS PL SW  
LARGO, FL 33774

Categories  
5A

Issued: November 29, 2023

Expires: November 30, 2027



Signature of Licensee



WILTON SIMPSON, COMMISSIONER

The above individual is licensed under the provisions of Chapter 487, F.S. to purchase and apply restricted use pesticides.

Florida Department of Agriculture and Consumer Services

Pesticide Certification Office

Commercial Applicator License

License # CM28915

ROEHM, JAMES DAVID

10722 59TH AVE

SEMINOLE, FL 33772-7305

Categories

21, 6, 5A

Issued: March 11, 2025

Expires: March 31, 2029



Signature of Licensee



WILTON SIMPSON, COMMISSIONER

The above individual is licensed under the provisions of Chapter 487, F.S. to purchase and apply restricted use pesticides.

# Equipment List

Our equipment inventory is carefully selected to support efficient, safe, and environmentally responsible operations. Each asset plays a specific role in executing vegetation management activities with precision and reliability.

- Electric boat motors
- Electric pumps and sprayers
- Machettes, pruners, additional hand tools
- Chainsaws and brushcutters
- Gator 6x4s and ATVs equipped with spray systems
- Watercraft such as 14 ft Carolina Skiffs or other small, portable boats and kayaks
- Backpack spray systems
- Airboats with sprayers
- Weedos (mechanical removal)

SCRUTINIZED COMPANIES FORMS

SCRUTINIZED COMPANIES AND BUSINESS OPERATIONS WITH CUBA AND SYRIA CERTIFICATION FORM

IF YOUR BID/PROPOSAL IS \$1,000,000 OR MORE, THIS FORM MUST BE COMPLETED AND SUBMITTED WITH THE BID/PROPOSAL. FAILURE TO SUBMIT THIS FORM AS REQUIRED MAY DEEM YOUR SUBMITTAL NONRESPONSIVE.

The affiant, by virtue of the signature below, certifies that:

- 1. The vendor, company, individual, principal, subsidiary, affiliate, or owner is aware of the requirements of section 287.135, Florida Statutes, regarding companies on the Scrutinized Companies with Activities in Sudan List, the Scrutinized Companies with Activities in the Iran Petroleum Energy Sector List, or engaging in business operations in Cuba and Syria; and
2. The vendor, company, individual, principal, subsidiary, affiliate, or owner is eligible to participate in this solicitation and is not listed on either the Scrutinized Companies with Activities in Sudan List, the Scrutinized Companies with Activities in the Iran Petroleum Sector List, or engaged in business operations in Cuba and Syria; and
3. Business Operations means, for purposes specifically related to Cuba or Syria, engaging in commerce in any form in Cuba or Syria, including, but not limited to, acquiring, developing, maintaining, owning, selling, possessing, leasing or operating equipment, facilities, personnel, products, services, personal property, real property, military equipment, or any other apparatus of business or commerce; and
4. If awarded the Contract (or Agreement), the vendor, company, individual, principal, subsidiary, affiliate, or owner will immediately notify the City of Clearwater in writing, no later than five (5) calendar days after any of its principals are placed on the Scrutinized Companies with Activities in Sudan List, the Scrutinized Companies with Activities in the Iran Petroleum Sector List, or engaged in business operations in Cuba and Syria.

Handwritten signature of James Roehm

Authorized Signature

James Roehm

Printed Name

President

Title

Lake Brothers LLC

Name of Entity/Corporation

STATE OF Florida

COUNTY OF Pinellas

The foregoing instrument was acknowledged before me by means of [X] physical presence or [ ] online notarization on, this 4 day of February, 2026, by James David Roehm (name of person whose signature is being notarized) as the President (title) of Lake Brothers LLC (name of corporation/entity), personally known, or produced Florida License (type of identification) as identification, and who did/did not take an oath.



Handwritten signature of Jeannette Kersic

Notary Public

Jeannette Kersic

Printed Name

My Commission Expires: March 29, 2028
NOTARY SEAL ABOVE

SCRUTINIZED COMPANIES FORMS

SCRUTINIZED COMPANIES THAT BOYCOTT ISRAEL LIST CERTIFICATION FORM

THIS FORM MUST BE COMPLETED AND SUBMITTED WITH THE BID/PROPOSAL. FAILURE TO SUBMIT THIS FORM AS REQUIRED MAY DEEM YOUR SUBMITTAL NONRESPONSIVE.

The affiant, by virtue of the signature below, certifies that:

- 1. The vendor, company, individual, principal, subsidiary, affiliate, or owner is aware of the requirements of section 287.135, Florida Statutes, regarding companies on the Scrutinized Companies that Boycott Israel List, or engaged in a boycott of Israel; and
2. The vendor, company, individual, principal, subsidiary, affiliate, or owner is eligible to participate in this solicitation and is not listed on the Scrutinized Companies that Boycott Israel List, or engaged in a boycott of Israel; and
3. "Boycott Israel" or "boycott of Israel" means refusing to deal, terminating business activities, or taking other actions to limit commercial relations with Israel, or persons or entities doing business in Israel or in Israeli-controlled territories, in a discriminatory manner. A statement by a company that it is participating in a boycott of Israel, or that it has initiated a boycott in response to a request for a boycott of Israel or in compliance with, or in furtherance of, calls for a boycott of Israel, may be considered as evidence that a company is participating in a boycott of Israel; and
4. If awarded the Contract (or Agreement), the vendor, company, individual, principal, subsidiary, affiliate, or owner will immediately notify the City of Clearwater in writing, no later than five (5) calendar days after any of its principals are placed on the Scrutinized Companies that Boycott Israel List, or engaged in a boycott of Israel.

Authorized Signature [Handwritten Signature]
James Roehm
Printed Name
President
Title
Lake Brothers LLC
Name of Entity/Corporation

STATE OF Florida
COUNTY OF Pinellas

The foregoing instrument was acknowledged before me by means of [X] physical presence or [ ] online notarization on, this 4 day of February, 2020, by James David Roehm (name of person whose signature is being notarized) as the President (title) of Lake Brothers LLC (name of corporation/entity), personally known, or produced [Handwritten ID] (type of identification) as identification, and who did/did not take an oath.



[Handwritten Signature]
Notary Public
Jeannette Kersic
Printed Name

My Commission Expires: March 29, 2028
NOTARY SEAL ABOVE

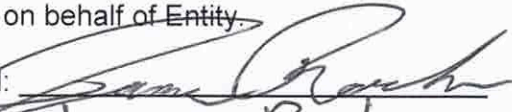
## Compliance with Anti-Human Trafficking Laws

Pursuant to Section 787.06 (13), Florida Statutes, this form must be completed by an officer or representative of a non-governmental entity when a contract is executed, renewed, or extended between the non-governmental entity and the City of Clearwater.

The undersigned, on behalf of the entity listed below ("Entity"), hereby attests under penalty of perjury that:

Entity does not use coercion for labor or services as defined in Section 787.06, Florida Statutes.

The undersigned is authorized to execute this form on behalf of Entity.

Date: 2/2, 2026 Signed:   
Entity: Lake Brothers LLC Name: James Roehm  
Title: President



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-NEC (nonemployee compensation).
- 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), and 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.

**Caution:** If you don't 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; and
4. Certify to your non-foreign status for purposes of withholding under chapter 3 or 4 of the Code (if applicable); and
5. 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).

**Establishing U.S. status for purposes of chapter 3 and chapter 4 withholding.** Payments made to foreign persons, including certain distributions, allocations of income, or transfers of sales proceeds, may be subject to withholding under chapter 3 or chapter 4 of the Code (sections 1441–1474). Under those rules, if a Form W-9 or other certification of non-foreign status has not been received, a withholding agent, transferee, or partnership (payor) generally applies presumption rules that may require the payor to withhold applicable tax from the recipient, owner, transferor, or partner (payee). See Pub. 515, *Withholding of Tax on Nonresident Aliens and Foreign Entities*.

The following persons must provide Form W-9 to the payor for purposes of establishing its non-foreign status.

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

See Pub. 515 for more information on providing a Form W-9 or a certification of non-foreign status to avoid withholding.

**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 (under Regulations section 1.1441-1(b)(2)(iv) or other applicable section for chapter 3 or 4 purposes), do not use Form W-9. Instead, use the appropriate Form W-8 or Form 8233 (see Pub. 515). If you are a qualified foreign pension fund under Regulations section 1.897(l)-1(d), or a partnership that is wholly owned by qualified foreign pension funds, that is treated as a non-foreign person for purposes of section 1445 withholding, do not use Form W-9. Instead, use Form W-8EXP (or other certification of non-foreign status).

**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 their 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 their 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, but are not limited to, 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, as described in item 4 under "*By signing the filled-out form*" 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.

See also *Establishing U.S. status for purposes of chapter 3 and chapter 4 withholding*, earlier.

## What Is FATCA Reporting?

The Foreign Account Tax Compliance Act (FATCA) requires a participating foreign financial institution to report all U.S. account holders that are specified U.S. 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 are no longer 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.

- **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 for 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 you filed with your application.

- **Sole proprietor.** Enter your individual name as shown on your Form 1040 on line 1. Enter your business, trade, or "doing business as" (DBA) name on line 2.

- **Partnership, C corporation, S corporation, or LLC, other than a disregarded entity.** 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.

- **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. Enter any business, trade, or DBA name on line 2.

- **Disregarded entity.** In general, a business entity that has a single owner, including an LLC, and is not a corporation, is disregarded as an entity separate from its owner (a disregarded entity). See Regulations section 301.7701-2(c)(2). A disregarded entity should check the appropriate box for the tax classification of its owner. Enter the owner's name on line 1. The name of the owner 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. 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, enter it on line 2.

### Line 3a

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

IF the entity/individual on line 1 is a(n) . . .	THEN check the box for . . .
• Corporation	Corporation.
• Individual or • Sole proprietorship	Individual/sole proprietor.
• LLC classified as a partnership for U.S. federal tax purposes or • LLC that has filed Form 8832 or 2553 electing to be taxed as a corporation	Limited liability company and enter the appropriate tax classification: P = Partnership, C = C corporation, or S = S corporation.
• Partnership	Partnership.
• Trust/estate	Trust/estate.

### Line 3b

Check this box if you are a partnership (including an LLC classified as a partnership for U.S. federal tax purposes), trust, or estate that has any foreign partners, owners, or beneficiaries, and you are providing this form to a partnership, trust, or estate, in which you have an ownership interest. You must check the box on line 3b if you receive a Form W-8 (or documentary evidence) from any partner, owner, or beneficiary establishing foreign status or if you receive a Form W-9 from any partner, owner, or beneficiary that has checked the box on line 3b.

**Note:** A partnership that provides a Form W-9 and checks box 3b may be required to complete Schedules K-2 and K-3 (Form 1065). For more information, see the Partnership Instructions for Schedules K-2 and K-3 (Form 1065).

If you are required to complete line 3b but fail to do so, you may not receive the information necessary to file a correct information return with the IRS or furnish a correct payee statement to your partners or beneficiaries. See, for example, sections 6698, 6722, and 6724 for penalties that may apply.

### 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 on 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 territory, 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 territory.
- 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 as defined under section 581.
- 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 Information, 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) entered 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 territory, 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, enter "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 ITIN. Enter it in the entry space for the Social security number. 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). 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 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/EIN](http://www.irs.gov/EIN). 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 Form SS-4 mailed to you within 15 business days.

If you are asked to complete Form W-9 but do not have a TIN, apply for a TIN and enter "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, you will generally 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. See also *Establishing U.S. status for purposes of chapter 3 and chapter 4 withholding*, earlier, for when you may instead be subject to withholding under chapter 3 or 4 of the Code.

**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)	The grantor-trustee <sup>1</sup>
b. So-called trust account that is not a legal or valid trust under state law	The actual owner <sup>1</sup>
6. Sole proprietorship or disregarded entity owned by an individual	The owner <sup>3</sup>
7. Grantor trust filing under Optional Filing Method 1 (see Regulations section 1.671-4(b)(2)(i)(A))**	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
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 Form 1041 or under the Optional Filing Method 2, requiring Form 1099 (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 on line 1, and enter your business or DBA name, if any, on line 2. 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.)

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

\*\* For more information on optional filing methods for grantor trusts, see the Instructions for Form 1041.

**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 return 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 a questionable credit report, contact the IRS Identity Theft Hotline at 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 877-777-4778 or TTY/TDD 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 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.

Go to [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 territories for use in administering their laws. The information may also 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, payors must generally withhold a percentage of taxable interest, dividends, and certain other payments to a payee who does not give a TIN to the payor. Certain penalties may also apply for providing false or fraudulent information.