

APPENDIX D-4
Beneficiary Eligible Mitigation Action Certification

BENEFICIARY ELIGIBLE MITIGATION ACTION CERTIFICATION

Beneficiary _____

Lead Agency Authorized to Act on Behalf of the Beneficiary _____
(Any authorized person with delegation of such authority to direct the Trustee delivered to the Trustee pursuant to a Delegation of Authority and Certificate of Incumbency)

Action Title:	
Beneficiary's Project ID:	
Funding Request No.	(sequential)
Request Type: (select one or more)	<input type="checkbox"/> Reimbursement <input type="checkbox"/> Advance <input type="checkbox"/> Other (specify): _____
Payment to be made to: (select one or more)	<input type="checkbox"/> Beneficiary <input type="checkbox"/> Other (specify): _____
Funding Request & Direction (Attachment A)	<input type="checkbox"/> Attached to this Certification <input type="checkbox"/> To be Provided Separately

SUMMARY

Eligible Mitigation Action <input type="checkbox"/> Appendix D-2 item (specify): _____ Action Type <input type="checkbox"/> Item 10 - DERA Option (5.2.12) (specify and attach DERA Proposal): _____
Explanation of how funding request fits into Beneficiary's Mitigation Plan (5.2.1):
Detailed Description of Mitigation Action Item Including Community and Air Quality Benefits (5.2.2):
Estimate of Anticipated NOx Reductions (5.2.3):
Identification of Governmental Entity Responsible for Reviewing and Auditing Expenditures of Eligible Mitigation Action Funds to Ensure Compliance with Applicable Law (5.2.7.1):
Describe how the Beneficiary will make documentation publicly available (5.2.7.2).
Describe any cost share requirement to be placed on each NOx source proposed to be mitigated (5.2.8).
Describe how the Beneficiary complied with subparagraph 4.2.8, related to notice to U.S. Government Agencies (5.2.9).

If applicable, describe how the mitigation action will mitigate the impacts of NOx emissions on communities that have historically borne a disproportionate share of the adverse impacts of such emissions (5.2.10).

ATTACHMENTS
(CHECK BOX IF ATTACHED)

- ☐ Attachment A Funding Request and Direction.
- ☐ Attachment B Eligible Mitigation Action Management Plan Including Detailed Budget and Implementation and Expenditures Timeline (5.2.4).
- ☐ Attachment C Detailed Plan for Reporting on Eligible Mitigation Action Implementation (5.2.11).
- ☐ Attachment D Detailed cost estimates from selected or potential vendors for each proposed expenditure exceeding \$25,000 (5.2.6). [Attach only if project involves vendor expenditures exceeding \$25,000.]
- ☐ Attachment E DERA Option (5.2.12). [Attach only if using DERA option.]
- ☐ Attachment F Attachment specifying amount of requested funding to be debited against each beneficiary's allocation (5.2.13). [Attach only if this is a joint application involving multiple beneficiaries.]

CERTIFICATIONS

By submitting this application, the Lead Agency makes the following certifications:

1. This application is submitted on behalf of Beneficiary _____, and the person executing this certification has authority to make this certification on behalf of the Lead Agency and Beneficiary, pursuant to the Certification for Beneficiary Status filed with the Court.
2. Beneficiary requests and directs that the Trustee make the payments described in this application and Attachment A to this Form.
3. This application contains all information and certifications required by Paragraph 5.2 of the Trust Agreement, and the Trustee may rely on this application, Attachment A, and related certifications in making disbursements of trust funds for the aforementioned Project ID.
4. Any vendors were or will be selected in accordance with a jurisdiction's public contracting law as applicable. (5.2.5)
5. Beneficiary will maintain and make publicly available all documentation submitted in

support of this funding request and all records supporting all expenditures of eligible mitigation action funds subject to applicable laws governing the publication of confidential business information and personally identifiable information. (5.2.7.2)

DATED: 9/18/24

Brian Rockensuss, Commissioner
[NAME]
[TITLE]

Indiana Department of Environmental Management

[LEAD AGENCY]

for

State of Indiana
[BENEFICIARY]

Appendix D-4 Summary Details

Eligible Mitigation Action Type:

Category 10: DERA Option

Explanation of how funding request fits into Beneficiary's Mitigation Plan (5.2.1):

Indiana will generally fund all eligible mitigation action (EMA) types included in Appendix D-2 of the national consent decree. The Mission Statement and Overall Goals are described below:

In promoting the reduction of emissions of NO_x, the Indiana Volkswagen Environmental Mitigation Trust Fund Program will prioritize sustainable projects that are transformative, positively impacting the environment, enhancing the health and well-being of residents, and promoting Indiana's growing economy.

The Program will focus on technological change and advancement with resiliency and favoring use of domestic fuel, where possible.

The goals of the Indiana Volkswagen Mitigation Trust Program include:

- Improving air quality across Indiana through cost-effective NO_x emission reduction strategies
- Maximizing diesel emission reductions across Indiana, while considering various categories of sensitive populations as areas of specific focus
- Providing appropriate considerations to projects that have diesel emission reductions that go beyond just NO_x, including PM_{2.5}, hydrocarbons (HC), carbon monoxide (CO), and carbon dioxide (CO₂)
- Encouraging leveraging of project partner funds with VW Trust funds to further the reach of the Indiana program

Detailed Description of Mitigation Action Item Including Community and Air Quality Benefits (5.2.2):

This project is for the purchase, installation, operation and maintenance of one (1) 2019 model-year, or newer, U.S. EPA emission compliant (Tier 4) all-electric-powered terminal trucks that will REPLACE one (1) of the Grantee's Pre-Tier 4 existing diesel-powered terminal trucks that will be used for the same purpose. The replacement vehicles will be located and primarily operated in Fort Wayne, Indiana.

All-electric-powered terminal trucks dramatically improve air quality and the quality-of-life conditions for operators, technicians, and citizens in the areas of operation due to notably lower tailpipe emissions in addition to less noisy engine operations.

The lifetime estimated emission reductions of pollutants according to U.S. EPA's Diesel Emission Quantifier (DEQ) include 3.857 tons of nitrogen oxides (NO_x) and 0.389 tons of fine particulate matter (PM_{2.5}).

Estimate of Anticipated NO_x Reductions (5.2.3):

Over the lifetime of this terminal truck, U.S. EPA's DEQ model estimates this project will result in a NOx reduction of 3.857 tons.

Identification of Governmental Entity Responsible for Reviewing and Auditing Expenditures of Eligible Mitigation Action Funds to Ensure Compliance with Applicable Law (5.2.7.1):

Indiana Department of Environmental Management

Describe how the Beneficiary will make documentation publicly available (5.2.7.2):

In October of 2017, IDEM published a website with specific information on the national mitigation trust as well as the Indiana program. The website included an opportunity to sign up for automated updates to make sure interested parties were always kept apprised of any changes made to the program website. This web portal will be the location for all information related to the Indiana Volkswagen Mitigation Trust Program.

Describe any cost share requirement to be placed on each NOx source proposed to be mitigated (5.2.8):

Indiana will use Volkswagen Mitigation Trust funds to reimburse non-government-owned fleet and equipment owners at the levels specified in Appendix D-2 of the national mitigation trust. IDEM will also use Volkswagen Mitigation Trust funds to reimburse government-owned fleets and equipment at the same level as non-government owned fleet and equipment owners, as opposed to the full cost reimbursement permitted by Appendix D-2.

Specifically, for this project, the Indiana Volkswagen Mitigation Trust Program will cover up to 40% of the total project cost while the Grantee and/or other programs covers the remaining 60%.

Describe how the Beneficiary complied with subparagraph 4.2.8, related to notice to U.S. Government Agencies (5.2.9):

The Indiana Department of Environmental Management notified representatives as identified in Appendix D-2 of the national consent decree via email in March of 2018.

If applicable, describe how the mitigation action will mitigate the impacts of NOx emissions on communities that have historically borne a disproportionate share of the adverse impacts of such emissions (5.2.10):

Not applicable to this specific project.

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Attachment B Details

Project Schedule and Milestones:

Indiana announces Round 1 – Onroad and Nonroad funding opportunity via online Request for Proposals (RFP)	April 22, 2019
Deadline for Round 1 – DieselWise Indiana with VW DERA Option program applications	December 20, 2019
Indiana notifies applicants of award decisions	February 17, 2020
Funding Agreement between Indiana and Grantee is fully executed	January 4, 2022
Grantee project implementation	January 4, 2022 to December 31, 2023
Indiana reviews programmatic, financial, and other materials for compliance with Appendix D-2 of the national consent decree	Ongoing
Indiana submits Appendix D-4 to Trustee to initiate payment to Grantee in accordance with Payee Contact and Wire Information form along with other supporting documentation	October 18, 2024
Indiana coordinates with Trustee on any questions or issues that arise related to the submitted Appendix D-4	October 18, 2024 to D-4 approval
Trustee responds to Indiana Appendix D-4	Within 60 days of submittal
Trustee disburses payment to Grantee	Within 15 days of Appendix D-4 approval

Project Budget:

Project Description	Indiana VW Mitigation Trust Grant Not to Exceed Total	Grantee Cost Share Not Less than Total	Project Total
Task A The purchase, installation, operation and maintenance of one (1) 2019 model-year, or newer, U.S. EPA emission compliant electric-powered terminal tractor that will REPLACE one (1) of the Grantee's model year 1992-2009 existing diesel-powered terminal tractors that will be used for the same purpose. The replacement vehicle will be located and primarily operated in Fort Wayne, Indiana.	\$150,242.00	\$220,423.00	\$370,665.00
Percentage	40%	60%	100%

State of Indiana Total Trust Allocation:

1) State of Indiana's Total Trust Allocation	\$40,935,880.59
2) Obligated Awards from Previous D-4 Submittals	\$23,930,444.54
3) State of Indiana's Net Remaining Allocation Prior to this D-4 Submittal	\$17,005,436.05
4) Current D-4 Funding Request Total	\$150,242.00
5) State of Indiana's Remaining Allocation After this D-4 Submittal	\$16,855,194.05

Projected Allocation Totals per Project Type:

	Total per Category	Annually Based on Expected Project Reimbursements
Total Trust	\$40,935,880.59	NA
To EV (15%) over 3 years (2021 to 2023)	\$6,140,382.09	\$2,046,794.03
To Admin (3%) over 4 years (2020 to 2023)	\$1,228,076.42	\$307,019.11
To EMAs (82%) over 3 years (2020 to 2022)	\$33,567,422.08	\$11,189,140.69

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Projected Trust Allocations:

	2020	2021	2022	2023	2024
1) Anticipated Annual Project Funding Request to be paid through the Trust	\$3,996,653.40	\$4,841,603.20	\$5,174,086.48	\$7,563,755.37	\$15,000,000.00
2) Anticipated Annual Cost Share (Administrative Costs)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
3) Anticipated Total Project Funding by Year (Line 1 + Line 2)	\$3,996,653.40	\$4,841,603.20	\$5,174,086.48	\$7,563,755.37	\$15,000,000.00
4) Cumulative Trustee Payments Made to Date Against Cumulative Approved Beneficiary Allocation	\$3,895,454.40	\$4,710,898.20	\$5,165,086.48	\$7,494,846.85	\$2,354,346.09
5) Current Beneficiary Project Funding to be paid through the Trust (Line 1)	\$101,199.00	\$130,705.00	\$9,000.00	\$68,908.52	\$150,242.00
6) Total Funding Allocated to Beneficiary, inclusive of Current Action by Year (Line 4 + Line 5)	\$3,996,653.40	\$4,841,603.20	\$5,174,086.48	\$7,563,755.37	\$2,504,588.09
7) Beneficiary Share of Estimated Funds Remaining in Trust at Beginning of Year	\$40,935,880.59	\$36,939,227.19	\$32,097,623.99	\$26,923,537.51	\$19,359,782.14
8) Net Beneficiary Funds Remaining in Trust, net of cumulative Beneficiary Funding Actions (Line 7 – Line 6)	\$36,939,227.19	\$32,097,623.99	\$26,923,537.51	\$19,359,782.14	\$16,855,194.05

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Attachment C Details

Detailed Plan for Reporting on Eligible Mitigation Action Implementation (5.2.11):

The Indiana Department of Environmental Management (IDEM) is committed to meet the reporting requirements as detailed in Subparagraph 5.3 of the Environmental Mitigation Trust Agreement for State Beneficiaries. Specifically, this subparagraph states:

“For each Eligible Mitigation Action, no later than six months after receiving its first disbursement of Trust Assets, and thereafter no later than January 30 (for the preceding six-month period of July 1 to December 31) and July 30 (for the preceding six-month period of January 1 to June 30) of each year, each Beneficiary shall submit to the Trustee a semiannual report describing the progress implementing each Eligible Mitigation Action during the six-month period leading up to the reporting date (including a summary of all costs expended on the Eligible Mitigation Action through the reporting date). Such reports shall include a complete description of the status (including actual or projected termination date), development, implementation, and any modification of each approved Eligible Mitigation Action. Beneficiaries may group multiple Eligible Mitigation Actions and multiple sub-beneficiaries into a single report. These reports shall be signed by an official with the authority to submit the report for the Beneficiary and must contain an attestation that the information is true and correct and that the submission is made under penalty of perjury. To the extent a Beneficiary avails itself of the DERA Option described in Appendix D-2, that Beneficiary may submit its DERA Quarterly Programmatic Reports in satisfaction of its obligations under this Paragraph as to those Eligible Mitigation Actions funded through the DERA Option. The Trustee shall post each semiannual report on the State Trust’s public-facing website upon receipt.”

IDEM will meet these obligations in coordination with our project partners. Project partners are obligated to provide IDEM the necessary information for reports to the Trustee through the Funding Agreements between IDEM and each project partner. This language states:

“4. Implementation and Reporting Requirements

A. The Grantee shall implement and complete the Project in accordance with **Attachment A** and the plans and specifications contained in its Funding Application. Modification of the Project shall require prior written approval from IDEM. If IDEM determines that the Grantee is not making adequate progress in implementation of the approved Project in accordance with **Attachment A**, IDEM may rescind the award.

B. The Grantee shall submit to IDEM written progress reports until the completion of the Project. These reports shall be submitted in accordance with the reporting schedule contained in **Attachment C** and shall contain such detail of progress or performance on the Project as is required under the terms of the Volkswagen Diesel Emissions Environmental Mitigation Trust. If additional documentation is required for IDEM to meet reporting obligations under the Volkswagen Diesel Emissions Environmental Mitigation Trust, IDEM may request such documentation as necessary at any time during the term of this Agreement.”

Attachment D Details

Detailed cost estimates from selected or potential vendors for each proposed expenditure exceeding \$25,000 (5.2.6):

Detailed in the following pages:



PLEASE PAY BY INVOICE NUMBER

Invoice # 215587

MAKE CHECKS

PAYABLE TO:

Ruan Transport Corporation

AT ADDRESS:

666 Grand Avenue 3100 Ruan Center, Des Moines, IA 50309

IN ACCOUNT WITH:

Indiana Dept. of Enviromental Management

ACCOUNTING	
DATE	PERIOD
4/3/2024	April
TERMINAL #	CUSTOMER #
T125	19999

QUANTITY	DESCRIPTION	TOTAL PROJECT COST	Calc. FUNDED AMOUNT
	Funding Agreement: DOR1-003 Attachment B: Project Budget (*Not to Exceed Total \$150,242)		45%
1	Orange EV HUSK-E Yard Tractor and Battery - Net Discount - R31272	\$370,665.00	\$166,799.25
1	Wallbox Charging Cabinet	\$14,950.00	\$6,727.50
1	Freight	\$2,100.00	\$945.00
	Taxes	\$26,993.05	\$12,146.87
		Actual Total Project Cost	\$414,708.05
		Actual Ruan Cost Share	(\$264,466.05)
		*Total Funded Amount	\$150,242.00
		Invoice Amount Due	\$150,242.00

R31272-000169230
R31272-000169231
A-22024-000169235

4281671
701 8760

Sales Invoice



Orange EV

900 N. 69th Street
Kansas City, KS
USA, 66102
Phone : 866-688-5223
sales@orangeev.com

Invoice No.	00132385
Date	12/31/2023
Contact	

Bill To	40151
Ruan Transportation Corporation	
666 Grand Ave,	
Des Moines, Iowa	
USA, 50309	

Ship To	40151-15
Ruan Clario	
8710 Baer Road,	
Fort Wayne, Indiana	
USA, 46809	

PO No.	Sales Order No.	Shipping No.	Reference No.	Ship Method	Payment Terms
BG100523T125	00020385	00018199		Non applicable	Due on Receipt
Sales Rep		Shipping Date	Carrier		Due Date
Non-applicable (NA)		12/14/2023	Not Applicable		12/31/2023

No.	Qty	UN	Item	Description	Retail Price	Net Price	Amount
1	1.000	EA	CFGPROD_TRUCK_H	HUSK-e Truck, to be Configured for Specific	\$395,615.00	\$395,615.00	\$395,615.00
2	1.000	EA	SALES DISCOUNTS	Ruan Base Price Discount	(\$24,950.00)	(\$24,950.00)	(\$24,950.00)
3	1.000	EA	80-001-00297-N	Wallbox 25kW 3-PH 480V	\$14,950.00	\$14,950.00	\$14,950.00
4	1.000	EA	PPD CUSTOMER	LTL Freight to ship truck and charger to	\$2,100.00	\$2,100.00	\$2,100.00
			EXPENSE	customer			

TRUCK NAME: RUA15
CHARGING CABINET SERIAL# ALY23200028AE
TRUCK SERIAL# HRXD23-0307623014
VIN# 1Z9HUSKE2PK530010

R3120072

Subtotal:	\$387,715.00
Taxes:	\$26,993.05
Total:	\$414,708.05
Payment:	\$0.00
Balance:	\$414,708.05

Traction 327,658.05 60.43% Sy
Charging Cabinet \$17,050 8% Sy
Battery \$70,000 10% Sy

USD

Ruan Transport Corporation

1/10/2024

Remittance Advice

ORANGE EV

Payment ID: 297202

5710 NW 41ST ST
RIVERSIDE MO 64150

Invoice	Invoice Date	Reference	Amount	Voucher	Amount Paid
132385	12/31/2023		\$414,708.05	7018760	\$414,708.05

Total \$414,708.05



December 20, 2019

To: Indiana Department of Environmental Management
Attn: Mr. Shawn Seals
From: Ruan Transport Corporation
RE: Cover Letter Summarizing RUAN RFP Response to 2019 DieselWise Indiana – DERA with VW DERA option Program

Ruan Transport Corporation intends to utilize funds (approx.\$150,000) available from the DieselWise Program to subsidize the purchase of a 2020 or 2019 MY Orange EV T-Series All Electric Terminal Truck. The T-Series will replace a 2007 Ottawa diesel terminal tractor, which will subsequently be rendered inoperable/destroyed.

The replacement of the 2007 diesel with the electric T-Series will result in approximately 15.5 tons of NOx reduced from ceasing operation of the diesel. In addition, there will be an additional 5.5 tons of particulate matter eliminated.

The following RFP response details many of the other benefits to awarding this proposal.

Thank you for your time and attention to this matter.

Sincerely,

A handwritten signature in blue ink that reads "James Cade".

RUAN TRANSPORT CORPORATION

James Cade
VP – Fleet Services

**WORK PLAN FOR THE REPLACEMENT OF E A 2007 DIESEL TERMINAL TRACTOR WITH AN ORANGE EV
ELECTRIC TERMINAL TRACTOR ELECTRIC**

Title

2019 DIESELWISE INDIANA - DERA with Volkswagen DERA Option

Category

Diesel Vehicle and Equipment Replacements (nonroad engine replacement with zero tailpipe emissions power source)

Grantee Information

Ruan Transport Corporation
666 Grand Ave
Des Moines, IA 50309
Contact: Tim Rodgers
Contact Title: Sr. Procurement Analyst
Email: trodgers@ruan.com
Phone: 515-245-5435
County: Polk

General Fleet Information

- # of vehicles - One (1)
- Total Operating Hours -17,698 hours
- Estimated monthly operating hours - 400 hours
- Estimated monthly idle time - 350 hours
- Estimated monthly fuel consumption - 600 Gallons
- Estimated monthly use (in miles or hours) - 400 hours
- Vehicle make - Ottawa
- Vehicle model year - 2007
- Vehicle model - YT30
- Vehicle serial/VIN - VIN: 11VF813E37A000147
- Engine information - 46723283 Cummins model ISB 200
- Remaining life - 9 years

Funding Requested

\$150,241.84

Total Project Cost

\$337,870.75

Project Period

We will issue a purchase order within 3-4 weeks of receiving notice of the award. The production cycle of the vehicle is approximately 90 days. We will destroy the replaced diesel tractor within a week of delivery of the Orange EV terminal tractor. As such, we anticipate having completed all requirements of the program by midsummer 2020.

Project Description

- Project Summary - Replace a 2007MY Ottawa Terminal Tractor with an Orange EV T-Series all electric terminal truck by midsummer 2020. This replacement will result in a reduction of 15.532 tons of NOx (1.762 tons/year) and 5.576 tons of PM2.5 (0.620 tons/year) for the remaining life of the replaced 2007 diesel tractor
- Project Benefits - Since the project is located on the border of Jasper and Newton counties and there is a combined population of 50,000 residents between Jasper & Newton counties the elimination of 15.5 tons of NOx and 5.5 tons of particulate matter will result in improved air quality for the 50,000 residents of both of these counties. An ancillary and more localized benefit for the workers at the site will be the elimination of the noise associated with an internal combustion engine operating throughout the entire day, since the electric terminal tractor is substantially quieter.
- Progress Plan – Our customer, Fair Oaks Dairy where our fleet is based has implemented a waste recapture process to help eliminate animal waste produced as a byproduct of the farm operations. The micro-digester converts the animal waste to RNG (Renewable Natural Gas) which our 40+ semi tractors use as an alternative fuel source. Over the last few years Ruan has run over 93 million miles on RNG powered equipment. To the extent possible we expect, over time, shift all of our machinery to zero-emission or at least to low-emission machinery as the technology becomes available and stable. We believe that converting to electric machinery, where practical, will result in decreased fuel costs, maintenance costs, lower noise, zero-emissions and a generally more pleasant environment for our employees and animals.
- Success Evaluation - Since the utilization of an electric terminal tractor results in the complete elimination of the emissions produced by the replaced diesel terminal tractor, our means of evaluating success is purely whether the Orange EV terminal tractor performs the work duties previously performed by the replaced diesel tractor as well or better.
- Physical/Operation Summary - Fair Oaks Dairy Farms Operation 4984 E. State Road 14 Fair Oaks, IN 47943, we anticipate that the terminal tractor will not have any need to leave the confines of the farm.
- Partners - N/A
- Contact Information –

Tim Rodgers
Email: trodgers@ruan.com
Phone: 515-245-5435

- Section V Expansion – We believe that this technology represents the beginning of a transformative movement within the shipping and heavy equipment industries. Historically these industries have been at best reluctant and more often loathe to adopt new technologies that represent a shift away from internal combustion engines. The continual movement of class 8 loads in and around yards represents one of the most rigorous activities within these industries, and this new technology has shown that not only can it do this work it can do it as well or even better than a diesel. As such, an electric terminal tractor successfully performing heavy-duty work will provide a precedent in the heavy equipment and shipping industries and also provide credibility for other electric equipment in related activities within these, historically, diesel dominated industries.
- Budget
 - Vehicle invoice price - \$333,870.75
 - Infrastructure preparation - \$4,000 (est.)
 - Total Project cost - \$337870.75
 - Grant funds - \$150,241.84
 - Cost Incurred by Applicant - \$187,628.91



GRANT MATCH COMMITMENT LETTER

12/19/2019

Ruan Transport
Corporation
666 Grand Ave.

Des Moines, IA 50309

RE: Funding Match Commitment Letter

Dear Mr. Shawn M. Seals:

As part of the Indiana DERA program, a funding match of at least 45% is required. This letter serves as Ruan's commitment to meet the match fund requirements for the Indiana Grant Program.

PROGRAM SHARE AMOUNT REQUESTED:

**Ruan Transport Corporation SHARE
AMOUNT:**

FUNDING TYPE:

Please contact Tim Rodgers at 515-245-5435 or email trodgers@ruan.com with questions.

Sincerely,

James Cade
VP – Fleet Services
515-245-2724
jcade@ruan.com



**AUTOMATED DIRECT DEPOSIT
AUTHORIZATION AGREEMENT**

State Form 47551 (R7 / 5-18)

Approved by State Board of Accounts, 2018

Prescribed by Auditor of State, 2018

* This agency is requesting disclosure of your Federal Identification Number / Social Security Number in accordance with IC 4-1-8-1.
Disclosure is mandatory, and this record cannot be processed without it.

In accordance with **IC 4-13-2-14.8**, a person who has a contract with the State of Indiana or submits invoices to the State of Indiana for payment shall authorize the direct deposit by electronic funds transfer of all payments by the state to the person.

This form must be completed in order to receive payment from the State of Indiana and any time there is a change in banking information. This form must be accompanied by a W9. If you are changing an e-mail address to receive electronic notifications of EFT deposits, please contact vendors@auditor.in.gov.

☒ New Enrollment

☐ Change of Existing Account

Prior Routing Number: _____

Prior Account Number: _____

SECTION 1: AUTHORIZATION

According to Indiana law, your signature below authorizes the transfer of electronic funds under the following terms:

Ruan Transportation Management Systems, Inc.

Name of Company or Individual (as shown on the account)

42-1465570

Federal Identification Number / Social Security Number *

666 Grand Avenue

Address (Number and Street and/or PO Box Number)

Des Moines, IA 50309

City, State, and ZIP Code (00000-0000)

SECTION 2: DIRECT DEPOSIT INFORMATION

Type of Account:

☒ Checking (Demand)

☐ Savings

☐ Please check this box if your direct deposit will be automatically forwarded to a bank account in another country.

Financial Institution: Bankers Trust

Routing Number (9 digits): 0 7 3 0 0 0 6 4 2

Account Number (maximum 17 digits - include leading zeros): 3 3 2 2 7

SECTION 3: E-MAIL ADDRESS TO RECEIVE ELECTRONIC NOTIFICATION OF ELECTRONIC FUND TRANSFER (EFT) DEPOSITS *Required

(Please contact vendors@auditor.in.gov to add more than four addresses.)

All future notices of EFT deposits to the bank account specified above will be sent to the following e-mail addresses:

jcade@ruan.com

soosteni@ruan.com

☒ By checking this box, I authorize the information provided on this form to be accurate and I agree with the provisions on the reverse side of this form. I also authorize the State of Indiana to initiate credit entries and to initiate, if necessary, debit entries and adjustments for any credit entries in error to my account indicated above. This authorization will remain in effect until the state has received written notification of its termination and has adequate time to act upon the request.

NAME (type) Steven H. Wood

TITLE CFO

TELEPHONE 515-245-2559

AUTHORIZED SIGNATURE* 

DATE (month, day, year) 12/19/19

* Under IC 26-2-8-106, your electronic signature on this form represents the same legal authority as your written signature.

Request for Taxpayer Identification Number and Certification

► Go to 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.

RUAN TRANSPORTATION MANAGEMENT SYSTEMS, INC.

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 **one** of the following seven boxes.

☐ Individual/sole proprietor or single-member LLC ☒ C Corporation ☐ S Corporation ☐ Partnership ☐ Trust/estate

☐ Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=Partnership) ► _____
Note: 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 **not** 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.

☐ Other (see instructions) ► _____

4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):

Exempt payee code (if any) **5**

Exemption from FATCA reporting code (if any) _____

(Applies to accounts maintained outside the U.S.)

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

666 GRAND AVE., STE. 3100

6 City, state, and ZIP code

DES MOINES, IA 50309

7 List account number(s) here (optional)

Requester's name and address (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

____ - ____ - ____

or

Employer identification number

4 2 - 1 4 6 5 5 7 0

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.

Sign
Here

Signature of
U.S. person ►

[Signature]

Date ► **12-19-19**

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.

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.



INDIANA ECONOMIC IMPACT - PROPOSALS AND CONTRACTS

State Form 51778 (R5 / 3-06)

DEPARTMENT OF ADMINISTRATION

Approved by State Board of Accounts, 2006

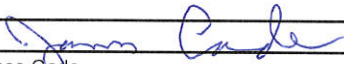
This information is required by the Indiana Department of Administration for all contractors, vendors/suppliers to the State of Indiana (complete all 22 items).

1	Legal Name of firm:	Ruan Transport Corporation
2	Address/City/State/Zip Code:	666 Grand Ave. Des Moines, IA 50309
3	Telephone #/Fax #/Website:	515-245-2500 515-875-5021 www.ruan.com
4	Federal Tax Identification Number:	42-0619339
5	State/Country of domicile/incorporation:	Iowa
6	Location of firm's headquarters or principal place of business:	666 Grand Avenue, Des Moines, IA 50309
7	Name of parent company or holding company (if applicable):	Ruan Transportation Management Systems, Inc.
8	State/Country of domicile/incorporation of company listed in #7:	Iowa
9	Address of company listed in #7:	666 Grand Avenue, Des Moines, IA 50309
10	IN Department of Workforce Development (DWD) account number:	061763
11	IN Department of Revenue (DOR) account number:	0003361845900
12	Number of Indiana resident employees per most recently completed IRS Form W-2 distribution:	Type text here 310
13	Total number of employees per most recently completed IRS Form W-2 distribution:	310
14	Total amount of payroll paid to Indiana resident employees per most recently completed IRS Form W-2 distribution:	\$13,642,669.53
15	Total amount of payroll paid to all employees per the most recently completed IRS Form W-2 distribution:	\$13,642,669.53
16	Total amount of this proposal, bid, or current contract:	Regarding Indiana Dera VW Grant application

ACCOUNTING OF INDIANA RESIDENT EMPLOYEES

17	Prime Contractor Company Name:	Ruan Transport Corporation
18	Number of Full Time Equivalent (FTE) employees that are Indiana residents specifically for this proposal or contract:	Type text here 3

19	Subcontractor Company Name:	N/A			
20	Address/Contact Person/Telephone Number/Tax ID Number:				
21	Number of Full Time Equivalent (FTE) employees that are Indiana residents specifically for this proposal or contract:				

22	Affirmation by authorized official: I affirm under penalties of perjury that the foregoing representations are true to be the best of my knowledge and belief:				
	Signature:				
	Name of auththorized official:	James Cage			
	Title:	VP - Fleet Services			
	Date:	12/19/19			