



Application for
8(a) Business Development (8(a) BD) and
Small Disadvantaged Business (SDB) Certification

OMB Approval:3245-0331
Expiration Date: 8/31/2007

To be completed by SBA

Date Received

Tracking #:

To be completed by Applicant

THIS APPLICATION IS FOR [ ] 8(a) \* [ ] SDB only CERTIFICATION
\*Firms that are 8(a) certified are certified as SDBs

NOTICE: A firm and the socially and economically disadvantaged individuals of the firm can only participate as disadvantaged in the 8(a) program one time.

YOUR SIGNATURE ON THIS APPLICATION for the 8(a) program INDICATES THAT YOU FULLY UNDERSTAND THIS LIMITATION AND THAT YOU HAVE NOT PREVIOUSLY USED YOUR ELIGIBILITY. Any sensitive information collected in this application is necessary to determine if applicants comply with statutory and regulatory requirements.

SECTION I:
Business Profile

Name of Firm: Telephone:

Address: E-mail: @ FAX:

City: County: State: ZIP:

Primary NAICS Code: SBA Customer No:
(North American Industry Classification System) Mandatory for 8(a) & SDB Certification

This firm was established on: I (We) have owned this firm since:
mm/dd/yyyy mm/dd/yyyy

Duns Number:

This firm is (check all applicable):
[ ] A For-Profit Business [ ] A Proprietorship [ ] A Corporation
[ ] A Partnership [ ] A Limited Liability Company [ ] A Broker
[ ] Located in a HUBZone [ ] DOT-Certified Disadvantaged Business Enterprise (DBE)

The average number of employees the firm (with its affiliates) had during the past 12 months was . The average annual revenues for the firm (and its affiliates) during the last three years was \$ . The percentage of the firm's revenues earned in the primary NAICS Code is %.

All applicants must attach a detailed explanation, including supporting documentation, noting the section and question number for each "Yes" response to the following questions:

- 1. Is the firm delinquent in filing any applicable business tax returns? [ ] Yes [ ] No
2. Does the firm have any past due taxes or any other delinquent Federal, state or local financial obligations outstanding or liens filed against it? [ ] Yes [ ] No
3. Are there any lawsuits pending against the firm? [ ] Yes [ ] No
4. Does the firm have any existing management, joint venture, indemnity, consulting, distributorship, licensing or franchise agreements? [ ] Yes [ ] No
5. Have there been any changes in ownership in the past two years? [ ] Yes [ ] No
6. Does the firm have an ownership interest in any other firm? [ ] Yes [ ] No
7. Does any other business concern have an ownership interest in the firm? [ ] Yes [ ] No
8. Does the firm buy from, sell or use the services or facilities of any other firm in which a principal of the applicant firm has a financial or any other interest? [ ] Yes [ ] No
9. Has the firm or any principal of the firm previously applied for 8(a) or SDB certification? [ ] Yes [ ] No
10. Has the firm or any principal of the firm received an SBA loan? [ ] Yes [ ] No

**SECTION I**  
**Business Profile (continued)**

***Only 8(a) Applicants must answer the following questions and attach a detailed explanation, including supporting documentation, noting the section and question number for each "Yes" response:***

11. Has the firm ever been certified as an 8(a) BD Program participant or own any assets of a previously certified 8(a) BD Program participant? [ ] Yes [ ] No
12. Does the firm have a negative net worth or working capital position? [ ] Yes [ ] No
13. Has the firm earned revenues in its primary NAICS code for less than the immediate past two years? [ ] Yes [ ] No

**SECTION II**  
**Business Management and Administration**

***Please provide the following information on all owners, directors, management members, and officers (add additional pages if necessary):***

Name	Position in Firm	Percentage of Ownership Interest in Firm	Hours Devoted to the Management of firm	Access to firms Bank Account (Y/N)	Socially and Economically Disadvantaged (Y/N)

***All applicants must attach a detailed explanation, including supporting documentation, noting the section and question number and any supporting documents for each "Yes" response to the following questions:***

14. Does any non-disadvantaged individual or entity furnish a required license or professional certification? [ ] Yes [ ] No
15. Does any non-disadvantaged employee, owner, director, officer or management member receive compensation from the firm in any form, including dividends, that exceeds the compensation of the highest ranking officer of the firm? [ ] Yes [ ] No
16. Does any individual or entity other than the individual(s) claiming disadvantage provide financial or bonding support, office space, or equipment to the firm? [ ] Yes [ ] No
17. Is any owner, director, officer or management member a former employee or a principal of a former employer of any individual(s) claiming disadvantage? [ ] Yes [ ] No
18. Does any owner, director, officer or management member have an ownership interest in any other firm? [ ] Yes [ ] No
19. Is any owner, director, officer or management member currently a Federal employee or have a household member who is currently a Federal employee? [ ] Yes [ ] No
20. Does any owner, director, officer or management member have any delinquent Federal obligations, past due taxes or liens against him/her or his/her spouse? [ ] Yes [ ] No

**SECTION III  
Personal Information**

*Please provide the following information on all individual applicants who claim social and economic disadvantage  
(add additional pages if necessary):*

Name of Individual	Designated Group Membership or Basis of Disadvantage *	U.S. Citizenship Y/N	Place of Birth	Sex M/F	Veteran Y/N
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____

Each individual claiming disadvantage must submit a narrative statement describing his/her economic disadvantage. Applicants who are not members of a designated group must also submit a narrative statement detailing how he/she personally experienced social disadvantage in American society and any supporting evidence.

**Note: Applicants must attach a detailed explanation, including supporting documentation, noting the section and question number and any supporting documents for each "yes" response to the following questions in this section.**

**With respect to each individual claiming disadvantage:**

21. Is any individual delinquent in filing his/her personal Federal or local tax returns? [ ] Yes [ ] No
22. Has any individual transferred any personal assets during the last two years to any immediate family member for less than fair market value? [ ] Yes [ ] No

**Only with respect to each 8(a) individual claiming disadvantage (not SDB applicant):**

23. Has any individual previously used his/her eligibility to qualify a firm for 8(a) BD Program participation? [ ] Yes [ ] No
24. Does any individual own individually, or in aggregate with the applicant firm and/or immediate family members, more than a 20% ownership interest in a current 8(a) BD Program participant? [ ] Yes [ ] No
25. Does any individual's immediate family member own individually, or in aggregate with other immediate family members and/or the applicant firm, more than a 20% ownership interest in a current 8(a) BD Program participant? [ ] Yes [ ] No
26. Does the applicant firm have more than a 20% ownership interest in a current 8(a) BD Program participant? [ ] Yes [ ] No
27. Has any individual ever been arrested? (If Yes, submit a Fingerprint Card.) [ ] Yes [ ] No

**Only with respect to 8(a) applicants:**

28. Does any non-disadvantaged owner of the applicant firm own individually, or in the aggregate with immediate family members, more than 10% of a current 8(a) BD Program participant? [ ] Yes [ ] No
29. Does any non-disadvantaged firm in the same or similar line of business own more than a 10% interest in the applicant firm? [ ] Yes [ ] No

\* List of Designated Groups: (1)Black Americans, (2)Hispanic Americans, (3)Native Americans, (4)Asian Pacific Americans, and (5)Subcontinent Asian Americans

**Under Title 18 U.S.C. § 1001 and Title 15 U.S.C. § 645, any person who misrepresents a firm's status as an 8(a) Program participant or SDB concern, or makes any other false statement in order to influence the certification process in any way, or to obtain a contract awarded under the preference programs established pursuant to section 8(a), 8(d), 9 or 15 of the Small Business Act, or any other provision of Federal Law that reference Section 8(d) for a definition of program eligibility shall be: (1) Subject to fines and imprisonment of up to 5 years, or both, as stated in Title 18 U.S.C. § 1001; subject to fines of up to \$500,000 and imprisonment of up to 10 years, or both, as stated in Title 15 U.S.C. § 645; (2) Subject to civil and administrative remedies, including suspension and debarment; and (3) Ineligible for participation in programs conducted under the authority of the Small Business Act.**

**I hereby certify that the information provided in this application and supporting documents relating to the applicant, to me personally, and to my disadvantaged status is true and accurate.**

By: \_\_\_\_\_ Date \_\_\_\_\_  
President/CEO/Proprietor/Management Member/Partner

**I hereby certify that the information provided in this application and supporting documents relating to my disadvantaged status and me is true and accurate.**

\_\_\_\_\_  
Signature Date

\_\_\_\_\_  
Signature Date

\_\_\_\_\_  
Signature Date

\_\_\_\_\_  
Signature Date

\_\_\_\_\_  
Signature Date

**PLEASE NOTE:** The estimated burden for completing this form is 2.5 hours per response. You are not required to respond to any collection of information unless it displays a currently valid OMB approval number. Comments on the burden should be sent to U.S. Small Business Administration, Chief, AIB, 409 3rd St., S.W., Washington, D.C. 20416 and Desk Officer for the Small Business Administration, Office of Management and Budget, New Executive Office Building, Room 10202, Washington, D.C. 20503. OMB Approval (3245- ).  
**PLEASE DO NOT SEND FORMS TO OMB.**

## CHECKLIST FOR PREPARING YOUR APPLICATION

(This checklist will provide basic guidelines on the attachments that you should submit with your application)  
*SBA will keep this information and the information provided on the application confidential to the extent required by the law.*

### SECTION I: Business Profile

- A detailed explanation, including supporting documentation, for each "Yes" response to questions in Section I, if applicable.
- Copies of **all** stock certificates (front and back), stock ledger, buy/sell agreements, transmutation agreements, voting agreements.
- Certificate of Good Standing (for Corporations and LLCs, if applicable).
- SBA Form 1623, Certification Regarding Debarment, Suspension, and other Responsibility Matters.
- Firms applying for SDB certification *only*, a balance sheet and profit and loss statement for the preceding fiscal year-end period.

#### **Firms applying for 8(a)/SDB certification should submit:**

- balance sheets and profit and loss statements no older than 90 days and for the preceding three (3) fiscal year-end periods,
- along with copies of the last three years of applicant firm's tax returns and schedules and attachments, and
- an executed IRS Form 4506, Request for Copy or Transcript of Tax form for firm's taxes, and
- a Statement of Bonding limit from the firm's surety, if applicable.

### SECTION II: Business Management and Administration

- A detailed explanation, including supporting documentation, for each "Yes" response to questions in Section II, if applicable.
- Articles of Incorporation, Operating Agreement, By-laws, Stockholder and Board Member Meeting Minutes, Partnership Agreement, Articles of Organization, Fictitious Business Name filing, and bank signature cards.
- Copies of the business and special licenses under which the firm operates.
- Copies of loan agreements, including lines of credit and shareholder loan(s).

### SECTION III: Personal Information: About each individual claiming social and economic disadvantage:

- A detailed explanation, including supporting documentation, for each "Yes" response to questions in Section III, if applicable.
- A current Personal Finance Statement on SBA Form 413 (no older than 30 days) for applicant *and* spouse, dividing all assets and liabilities as appropriate. If you are married and live in a community property jurisdiction, please provide evidence of which assets and income are community property and which are separate.
- Copies of personal income tax returns (including all schedules and W-2 forms) for the two years immediately preceding the application for the individual and spouse, and an executed IRS Form 4506, Request for Copy or Transcript of Tax Form.
- Narrative statement of economic disadvantage.
- Applicants who are not members of a designated group must submit supporting evidence of individual social disadvantage.
- Applicants for 8(a) certification must submit an SBA Form 912, Statement of Personal History (include a SBA Fingerprint Card if the SBA Form 912 reflects an arrest).
- Personal Resume, including the education, technical training and business and employment experience (employer's name, dates of employment and nature of employment), including the individual's current duties within the applicant firm.

#### **About each non-disadvantaged principal, including each owner of more than 10%, each director, each officer, each management member, each Partner and any other individual, such as key employee, who can speak for the firm:**

- Personal Resume, including the education, technical training and business and employment experience (employer's name, dates of employment and nature of employment), including the individual's current duties within the applicant firm.
- Copies of person income tax returns (including all schedules and W-2 forms) for the two years immediately preceding the application for the individual and spouse, and an executed IRS Form 4506, Request for Copy or Transcript of Tax Form.
- Applicants for 8(a) certification must submit an SBA Form 912, Statement of Personal History (include a SBA Fingerprint Card if the SBA Form 912 reflects an arrest).

## DEFINITIONS

**Immediate Family Member** means father, mother, husband, wife, son, daughter, brother, sister, grandfather, grandmother, grandson, granddaughter, father-in-law, and mother-in-law.

**NAICS** is the North American Industry Classification System. It replaces the old Standard Industrial Classification (SIC) System. You may learn more about NAICS by accessing the Census Bureau's NAICS Internet site at: [www.census.gov/naics](http://www.census.gov/naics)

**PRONet®** is the U.S. Small Business Administration's Procurement Marketing & Access Network. It is an on-line, interactive, electronic gateway of procurement information – for and about small businesses. To register for PRONet® go to: <http://pronet.sba.gov>, select the *Register* bar and follow the instructions.

## Where to Apply for Certification

For the **SDB** Certification:

U.S. Small Business Administration  
Office of Small Disadvantaged Business Certification & Eligibility  
409 Third Street, S.W., MC 8800, SDB 8th Floor  
Washington, D.C. 20416

For **8(a) certification**, if your business is located in the following area:

Colorado, Connecticut, Delaware, Maine, Maryland, Massachusetts, Montana, New Hampshire, North Dakota  
Pennsylvania, Rhode Island, South Dakota, Utah, Vermont, Virginia, Washington, D.C. West Virginia and Wyoming

**Please send your package to:** Small Business Administration  
Division of Program Certification and Eligibility  
Robert N.C. Nix Federal Building  
900 Market Street, 5th Floor  
Philadelphia, PA 19107

Alabama, Alaska, Arizona, Arkansas, California, Florida, Georgia, Guam, Hawaii, Idaho, Illinois, Indiana, Iowa,  
Kansas, Kentucky, Louisiana, Michigan, Minnesota, Mississippi, Missouri, Nebraska, Nevada, New Jersey, New  
York, New Mexico, North Carolina, Ohio, Oklahoma, Oregon, Puerto Rico, South Carolina, Tennessee, Texas, Virgin  
Islands, Washington and Wisconsin

**Please send your package to:** Small Business Administration  
Division of Program Certification and Eligibility  
455 Market Street, 6th Floor  
San Francisco, CA 94105