



7(a) LENDER INFORMATION REQUEST FOR INITIAL APPROVAL OF DELEGATED AUTHORITY

Lenders seeking to obtain delegated authority are required to submit the information requested below to SBA. In making its decision to grant delegated authority, SBA considers whether, in SBA’s discretion, the Lender is in good standing with SBA as defined in [13 CFR § 120.420\(f\)](#) with its state regulator, as applicable; and is considered Satisfactory by its Federal Financial Institution Regulator² (as determined by SBA and based on, for example, information in published orders/agreements and call reports) ([13 CFR § 120.410\(e\)](#)). The information assists SBA in its evaluation of the Lender’s ability to evaluate, process, close, disburse service, liquidate, and litigate SBA loans; whether the lender has satisfactory SBA performance; is in compliance with SBA Loan Program Requirements, or exhibits other risk factors. Submission of this information is required to obtain delegated authority.

<u>Lender’s Legal Name and FIRS Number</u>		<u>Legal Address</u>	<u>City</u>	<u>State</u>	<u>Zip</u>
<u>Legal Name of any Holding Company</u>	<u>Lender’s Lead SBA Field Office¹</u>	<u>Lender’s SBA Contact Person Name/Title/Email/Phone #</u>	<u>Date of Request</u>	<u>Authorities Requested</u> <input type="checkbox"/> SBA Express <input type="checkbox"/> Export Express <input type="checkbox"/> PLP <input type="checkbox"/> PLP-EWCP	
<u>INFORMATION REQUEST FOR INITIAL APPROVAL OF DELEGATED AUTHORITY</u>					YES/NO/NA
Attach a written statement that to the best of its knowledge, the Lender has satisfactory: (a) financial condition (i.e., is deemed well-capitalized based on size of entity, has sufficient liquid assets, etc.); (b) small business credit administration policies, procedures, and practices that it continues to adhere to in its operations; and (c) small business servicing policies, procedures, and practices that it continues to adhere to in its operations. See SOP 50 10 5 Subpart A, Chapter 1 for guidance. If the Lender operates under a regulatory order, agreement, or enforcement action concerning weaknesses in its loan administration (processing, underwriting and servicing), management, or capital please state, as appropriate, whether the Lender is complying with the instructions as prescribed in the agreement/order.					
Has any officer or employee been under investigation or indictment for, or been convicted of or had a judgment (including imposition of a “Probation Before Judgment,” “Probation No Judgment,” or deferred prosecution) entered against him/her for, a felony or fraud, or charges relating to a breach of trust or violation of a law or regulation protecting the integrity of business transactions or relationships, unless the Lender Oversight Committee has determined that good standing exists despite the existence of such person?					

¹The SBA Field Office servicing the area in which the Lender’s headquarters is located.

² 13 CFR 120.10 defines Federal Financial Institution Regulator as the federal banking regulator of a 7(a) Lender and may

PLEASE NOTE: You are not required to respond to any collection of information unless it displays a currently valid OMB Approval number. The number for this collection of information is 3245-0365. The total estimated time to respond to this collection of information, including gathering and maintaining the data needed, and completing and reviewing the collection of information, is 150 minutes. You may send comments or questions regarding this estimated time or any other aspect of this collection of information including suggestions for reducing the time or other burden to: Director, Records Management Division, 409 Third Street, 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 DC 20503.

include the Federal Deposit Insurance Corporation, the Federal Reserve Board, the Office of the Comptroller of the Currency, the Office of Thrift Supervision, the National Credit Union Administration, and the Farm Credit Administration.

Attach a list of 20 small commercial loans for \$350K or less at most recent fiscal year end. Please attach with request if you are not currently an SBA participating lender. (for SBAExpress only)	
Attach a description of your history, organization, and management, including date chartered and any recent mergers or acquisitions. (for PLP only)	
Attach a list of management and staff who will be responsible for evaluating, processing, closing, disbursing, servicing, liquidating, and litigating PLP loans; who will have PLP loan approval authority; and, their experience with the Lender, in the industry, and with SBA loans, including any relevant training received. (for PLP only)	
Attach documentation regarding where and how PLP loans will be processed, closed, serviced and liquidated. (for PLP only)	
Has the Lender DISBURSED 5 SBA loans within the past 24 months ? Documentation showing the 5 DISBURSED loans must be submitted with this request. (for PLP only)	
Attach a description of your experience in international trade lending including your level of EWCP over the last 2 years, Export-Import Bank (EX-Im) lending activity over the same 2 year period, and identification of any form of delegated lender status with Ex-Im or other trade finance agencies. (for PLP-EWCP only)	
Attach a list of personnel who will be in charge of EWCP loans and their experience in export trade finance for small concerns. (for PLP-EWCP only)	

Please provide any additional comments below and attach any additional documentation you wish to include with your request.

Comments:

Please note: By signing and submitting this document you are officially submitting a request for the specified delegated authority(ies).

Lender Official

Date

This document must be filled out by the Lender and submitted electronically to the Office of Credit Risk Management at 7aDeleAuthNomination@sba.gov with all applicable attachments.