

(All parties listed below are considered "Associates" of the small business applicant.)

- For a sole proprietorship, the sole proprietor;
- For a partnership, all general partners and all limited partners owning 20% or more of the equity of the firm, or any partner that is involved in management of the applicant business;
- For a corporation, all owners of 20% or more of the corporation and each officer and director;
- For limited liability companies (LLCs), all members owning 20% or more of the company, each officer, director, and managing member; and
- Any person hired by the business to manage day-to-day operations.

(If more than one person must complete this section, this page may be copied, completed and attached to this form.)

1. Are you presently subject to an indictment, criminal information, arraignment, or other means by which formal criminal charges are brought in any jurisdiction? Yes  No  Initials: \_\_\_\_\_

2. Have you been arrested in the past six months for any criminal offense? Yes  No  Initials: \_\_\_\_\_

3. For any criminal offense – other than a minor vehicle violation – have you ever: 1) been convicted; 2) plead guilty; 3) plead nolo contendere; 4) been placed on pretrial diversion; or 5) been placed on any form of parole or probation (including probation before judgment)? Yes  No  Initials: \_\_\_\_\_

4. Has an application for the loan you are applying for now ever been submitted to SBA or to a Certified Development Company or lender in connection with any SBA program? Yes  No

5. Are you presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency? Yes  No

6. If you are at least a 50% or more owner of the applicant business, are you more than 60 days delinquent on any obligation to pay child support arising under an administrative order, court order, repayment agreement between the holder and a custodial parent, or repayment agreement between the holder and a state agency providing child support enforcement services? Yes  No  N/A

7. Are you a U.S. Citizen? Yes  No  Initials: \_\_\_\_\_

If "No," are you a Lawful Permanent resident alien? Yes  No  Initials: \_\_\_\_\_

If "Yes," Provide Alien Registration Number: \_\_\_\_\_ If "No," country of citizenship: \_\_\_\_\_

Signature: \_\_\_\_\_ Association to Applicant: \_\_\_\_\_  
(See list above)

Print Name: \_\_\_\_\_

- If "YES" to Question 1, the loan request is ineligible for SBA assistance.
- If "YES" to Question 2 or 3, you must complete and submit to the CDC SBA Form 912. The CDC will determine whether the completed Form 912 must be submitted to SBA for a background check and a character determination in accordance with SBA Loan Program Requirements (as defined in 13 CFR § 120.10).
- If "YES" to Question 3 and you are currently on parole or probation (including probation before judgment), the loan request is ineligible for SBA assistance.
- If "YES" to Questions 4, 5 or 6, the application may not be approved by a PCLP CDC under its delegated authority. The application must be submitted to the SLPC for processing and approval.