



## Small Business Award Nomination Form

Please identify which category or categories you would like to nominate a business for:

**Small Business Person of the Year:** For developing an outstanding, growing business; innovative product(s), increasing jobs, increasing sales, overcoming adversity, and community contributions.

**Jeffrey Butland Family Owned Business of the Year:** Family-owned business that has passed from one generation to another and owner has responsibility for operating the business. Nominees must serve as a majority owner and operator or bear principal responsibility for operating a small business with at least a 15-year track record.

**Micro-Enterprise of the Year:** Any individual who founded, owns and operates a microenterprise which received SBA assistance (through SBA loan programs or as a client of our technical service providers) may be nominated. Microenterprise is defined as any small business with five or fewer employees including the owners.

**Veteran-Owned Small Business of the Year:** A U.S. Armed Forces Veteran who serves as majority owner for a small business with a three year track record.

**Woman-Owned Small Business of the Year:** A woman who serves as majority owner for a small business with a track record of at least three years.

**Young Entrepreneur of the Year:** Any individual who serves as majority owner and operator for a small business with a three-year track record, and who will not have reached the age of 35 by June 1, 2016.

**Home-Based Business of the Year:** An individual who owns and operates a home-based business.

**Minority-Owned Small Business of the Year:** An ethnic minority who serves as majority owner for a small business with a track record of at least three years.

**Small Business Exporter of the Year:** Significantly increased export sales and profits, encouraging other firms to export, increased jobs through exports, and innovative methods of creating markets.

**Entrepreneurial Success of the Year:** Individuals who own and operate a business that started 'small' by SBA standards, then developed into a large business. Business must have received SBA assistance.

**Financial Services Champion of the Year:** The following are criteria for the Financial Services Champion Award: Outside of regular business duties, the amount and quality of assistance given small businesses to obtain financing, advocacy for changes in the financial services industry to assist small companies, encouragement of the flow of investment capital to small ventures, active support for legislative or regulatory action designed to help small firms, and measurable accomplishments through the advocacy efforts of the financial services or accounting industries to advance small business interests.

**Nominees will be judged on the following criteria, so please ensure your nomination addresses these topics:**

- Staying power – a substantiated history as an established business with a track record of at least three years
- Growth in number of employees, sustained expansion
- Increase in sales and/or unit volume and net worth
- Innovativeness of product or service
- Response to adversity
- Contributions to aid community-oriented projects
- Proof of SBA loan, contracting or technical assistance

Please complete forms 3300 and 3301, found below, and send the full, completed form along with an original 8" x 10" or 5" x 7" photo of the nominee, or a digital photo, and any supporting documentation to Keith Lind at [keith.lind@sba.gov](mailto:keith.lind@sba.gov), or if sending a hard copy, to:

SBA Maine District Office  
68 Sewall St., Room 512  
Augusta, ME 04330

**In order for nominations to be considered, initial nominations must be received by **December 11, 2015** and the full package must be received by the Maine District Office no later than **3:00pm on January 11, 2016**.**



## SBA Form 3300 Award Nominee Background Form

### Instructions:

This form must be completed by:

- Each individual nominated for an award
- All Members of teams nominated for an award
- The official representative of a small business nominated for an award

The completed form must be submitted with the nomination package as noted in the award guidelines. Answer each question as fully as possible; if it is not applicable, state N/A. Use additional sheets if necessary.

It is important that questions 9-11 be answered completely. An arrest or conviction record will not necessarily disqualify you; however, an untruthful answer will cause your nomination to be denied. If you answer "yes" to 9, 10, or 11, provide details on a separate sheet. Include dates, location, fines, sentences, whether misdemeanor or felony dates of parole/probation, unpaid fines or penalties, name(s) under which charged, and any other pertinent information.

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1. State name in full, if no middle name, state (NMN), or if initial only, indicate initial. List all former names used, and dates each name was used.
  2. Provide the following information:
    - a. Job title:
    - b. Business name:
    - c. Business address:
    - d. Business phone number:
    - e. Mobile number:
    - f. Fax number:
    - g. Business email address:
  3. Provide your home address, city/state and zip code.

4. Provide your date of birth (month, day and year).
5. Are you a United States citizen?
6. If you are not a United States Citizen, are you a lawful permanent resident alien (include alien registration number)?
7. Are you presently debarred, suspended, proposed for debarment, or declared ineligible for the award of contracts or financial assistance by any Federal agency?
8. Have you been notified of any delinquent Federal taxes for which the liability remains unsatisfied? Federal taxes are considered delinquent if the tax liability is finally determined and the taxpayer is delinquent in making payment.
9. Are you presently under indictment, on parole or probation? (If yes, indicate date parole or probation is to expire).
10. Have you ever been charged with and/or arrested for any criminal offense other than a minor motor vehicle violation? Include offenses which have been dismissed, discharged, or not prosecuted. (All arrests and charges must be disclosed and explained on an attached sheet).
11. Have you ever been convicted, placed on pretrial diversion, or placed on any form of probation; including adjudication withheld pending probation, for any criminal offense other than a minor vehicle violation?

**I authorize the Small Business Administration Office of Inspector General to request criminal record information about me from criminal justice agencies for the purpose of determining my eligibility for a small business recognition award and to participate in the related activities, including programs authorized by sections 4(h) and 8(b)(1)(A)(iv) of the Small Business Act, 15 U.S.C. 633(h) and 637(b)(1)(A)(iv).**

**CAUTION:** Knowingly making a false statement on this form is a violation of Federal law and could result in criminal prosecution, significant civil penalties, and a denial of program participation or other benefits awarded by the agency. A false statement is punishable under 18 USC 1001 by imprisonment of not more than five years and/or a fine of not more than \$10,000; under 15 USC 645 by imprisonment of not more than two years and/or a fine of not more than \$5,000; and, if submitted to a Federally insured institution, under 18 USC 1014 by imprisonment of not more than thirty years and/or a fine of not more than \$1,000,000.

**Signature and Date**

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## NOTICES REQUIRED BY LAW

### **Paperwork Reduction Act (44 U.S.C. 3501 et seq.)**

SBA will use the information collected on this form, along with other information submitted by award nominees as part of the nomination package, to determine the nominee's eligibility for a particular small business award; to identify any actual or apparent conflict of interest and, to make eventual award determinations. Responding to this request for information is voluntary. However, failure to provide the requested information may affect SBA's ability to make a decision regarding your eligibility for an award.

The estimated burden for completing this form is 15 minutes. However, the total estimated time for completing the nomination package (Form 3300, the award specific nomination, and all other information outlined in the "Awards Nominations Guidelines"), is 90 minutes. This estimate includes the time for reviewing the instructions, gathering and compiling data, and submitting the package. You are not required to respond to any collection of information unless it displays a currently valid OMB control number (3245-0360). Comments on these burden estimates should be sent to the U.S. Small Business Administration, Chief, AIB 409 3rd St. SW, Washington, DC 20416, and Desk Officer for the U.S. Small Business Administration, Office of Management and Budget, New Executive Office Building, Room 10202, Washington, DC 20503. **DO NOT SEND FORMS TO OMB. Submit them to the location identified in the nomination guide.**

### **Privacy Act (5 U.S.C. § 552a)**

Anyone can request copies of an individual's personal information that SBA has in its files when that file is retrieved by individual identifiers, such as name or social security number. SBA will protect an individual's personal information to the extent permitted by law, including the Freedom of Information Act, 5 U.S.C. § 552, and the Privacy Act of 1974, 5 U.S.C. § 552a. However, as a routine matter information collected may be disclosed as follows: (a) to the news media for public disclosure of the name, address, and biography of award recipients; (b) to communicate with State and local governments about the status of a particular nominee; (c) to an individual nominee's Congressional office when that office is inquiring on the individual's behalf; (d) to Agency volunteers, interns, judges, experts and contractors who need access to the records in order to perform an award related activity; and (e) to the Department of Justice (DOJ); the court, adjudicative body, or a dispute resolution body when any of the following is a party to litigation or has an interest in such litigation:

- (1) The agency or any of its components;
- (2) An agency employee in his or her official capacity;
- (3) An agency employee in his or her individual capacity where DOJ has agreed to represent the employee; or

(4) The United States Government, where the agency determines that litigation is likely to affect the agency or any of its components.

Before making any disclosures SBA must determine that the use of the records is relevant and necessary to the litigation, and disclosure of the records is for a purpose that is compatible with the purpose for which the records were collected.

Additional information regarding the retention and disclosure of certain collected information is listed in the systems of record notice for SBA 28, Small Business Person and Advocate Awards-, which was last published in the Federal Register at 74 FR 14889.



## National Small Business Week

### SBA Form 3301, Small Business Person of the Year

#### Instructions:

This form must be completed by the nominee or by the nominator. The completed form must be submitted with the nomination package as noted in the award guidelines. Answer each question as fully as possible; if it is not applicable, state N/A.

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#### 1. Lead Nominee Information:

- a. Name:
- b. Title:
- c. Business name:
- d. Business address:
- e. Business phone number:
- f. Business email address:

#### 2. Co-nominee(s) Information (Note: you may nominate up to 3 additional co-nominees per business. Each co-nominee must fill out the SBA Form 3300):

- a. Name(s):
- b. Title(s):
- c. Email address(es):

#### 3. Nominator Information (if you are nominating yourself, write n/a):

- a. Nominator name:
- b. Title:
- c. Address:
- d. Phone number:
- e. Email address:

4. Provide the nominee(s) percentage of ownership or stock owned in the small business.
5. How many years has the nominee's business been operational (minimum 3 years)?
6. How many employees does the business **currently** have?
7. Does the business have a website? If yes, list the URL:
8. To assess the financial performance of the business for the last 3 calendar years, fill out the chart below.

<b>Financial Summary</b>			
<b>Year</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>
<b>Number of Employees</b>			
<b>Total Sales</b>			
<b>Net Profit (Before Tax)</b>			
<b>Total Assets</b>			
<b>Total Liabilities</b>			
<b>Net Worth</b>			

**Answer each of the following questions in 200 words or less.**

9. Provide a biography for the nominee(s):
10. Has the business received SBA assistance (e.g. SBA loan, SCORE counseling, SBDC assistance, WBC assistance contracting or Emerging Leader Initiative)? If yes, please explain (include the amount and date of financial assistance received if applicable):
11. Describe the nominee's business, including areas served:
12. Has the business expanded to additional locations, grown in square footage or increased web traffic since its founding? If yes, please explain.
13. Based on the financial chart provided above, please explain in more detail the business's year to year changes in financial health (e.g. sales, net profit, net worth) and number of employees.

14. What products or services does the business provide and how does the business fit a niche not addressed by the competition in the marketplace?
  15. Does the business export? If yes, please explain.
  16. Has the nominee had a financial, physical, legal, or other crisis while in business? Please explain the situation and actions taken to resolve it.
  17. Does the nominee contribute money, time or resources to his or her community or charitable causes? If yes, please explain.
  18. Is the nominee a member of a council, board or club providing support and services to his or her community? If yes, please explain.
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**Paperwork Reduction Act Notice:**

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You are not required to respond to any collection of information unless it displays a currently valid OMB control number (3245-0360). The estimated burden for completing this form is 1 hour and 45 minutes, including the time for reviewing the instructions, and gathering and compiling data. Combined with the time for completing the Form 3300, the total estimated time to prepare and submit the nomination package for each nominee is 90 minutes. Comments on this burden estimate should be sent to the U.S. Small Business Administration, Chief, AIB 409 3rd St., SW, Washington, DC 20416, and Desk Officer for the U.S. Small Business Administration, Office of Management and Budget, New Executive Office Building, Room 10202, Washington, DC 20503. **DO NOT SEND COMPLETED FORMS TO OMB. Submit them to the location indicated in the nomination guide.**