

Initial Application Sole Proprietor Doc Request

<P>HUBZone Program Supporting Documentation Request

<P>Please find below a detailed description of the information and documentation your firm must now submit to validate the information provided in your HUBZone application. The collection and careful review of these materials are necessary in order to preserve the integrity of the HUBZone Program by ensuring that only truly eligible firms receive certification.

<P>The electronic verification date for your firm's application is **1 July 2013**. Please take note of this date, as much of the documentation requested below to support your application references the electronic verification date of your application.

<P>The supporting documentation requested below must be RECEIVED by the SBA by the close of business on **17 July 2013**. You may send this documentation via email, fax, or mail. If you wish to send the documents by email (e.g., by scanning the documents to PDF files), the address is: HUBZONEdocuments@sba.gov. Note that there is a size limit of 5 MB per email so you may need to break your submission into multiple emails. If you wish to send the documents by fax, the number is: **202-481-6443**. Note there is a 20 page limit when faxing, so you may need to break your submission into multiple faxes. If the documentation cannot be submitted by the date requested, please send an email to request an extension.

<P>Supplying the Documentation:

<P> Upload documents via SBA Cloud. **SBA HIGHLY RECOMMENDS THIS METHOD WHEN SUBMITTING YOUR DOCUMENTS!!**

<P> Click on the link provided below or copy and paste into your web browser:

<https://www13.sendthisfile.com/sendthisfile/custom.jsp?sendthisfilecode=loehCHJFmbYZbKzIE TTGmas8&&balance=14411>

<P> Recipient: HUBZonedocuments@sba.gov

<P> Subject: [enter application number and firm's name]

<P> If using this method please ensure to separate and label each document accordingly. Sending in one file will result in longer processing times.

<P>Other ways to submit documents **(i.e. E-mail, Mail and/or Fax)** may result in a **longer processing time:**

<P> E-Mail, with a size limit of 5MB, send to:

<P>hubzonedocuments@sba.gov

<P> Mail, we recommend selecting an option that allows you to track the shipment;
please address to:

<P>**SBA HUBZone Support,**
<P>**2911 Esters Road #303,**
<P>**Irving, TX 75062**

<P> Fax, with a 20 page limit per transmission, send to:

<P> **202-481-6443**

<P>**Documents demonstrating your firm meets Ownership & Control and Size requirements:**

<P>**1. Corporate documents:** Although your firm may not be required to submit the following documentation to the Secretary of State in your state, it is nonetheless required and necessary to determine the eligibility criteria for the SBA HUBZone Program. Failure to provide these documents will result in your application being withdrawn or declined. In addition, if your firm is not in good standing with the state, your firm will need to rectify this issue immediately. Provide a copy of the following documents, each of which must be valid at the time of electronic verification and have required signatures:

<P>**SOLE PROPRIETORS**

<P>a. DBA (Doing Business As) Certificate, if applicable. If this document is not applicable, please note as such in writing. Failure to provide a response to this request will cause a delay in the processing of the application.

<P>2. **Business Tax Returns:** Provide Federal Business Income Tax Returns for the applicant firm AND all of its affiliates identified in the application for the most recently available previous 3 years.

<P>NOTE EXCEPTION: Firms with a primary NAICS code which requires that the Small Business size determination be based on employees (vs. revenue) need only provide the most recently available yearly Federal Business Tax Return. However, in addition to that tax return, such firms must also provide the most recently available 12 months of quarterly unemployment reports.

<P>Note these documents must be provided for the applicant firm AND all of its affiliates identified in the application.

<P>**3. Personal Tax Returns for significant owners:** Provide Federal Personal Income Tax Returns for the most recently available year for ALL owners of the firm who have 20% or more ownership of the firm, including all attachments and schedules. Also provide W2's for all individuals listed on the return. Please Note: If no one individual owns 20% or more, then the Personal Tax Returns need to be provided for each individual with ownership.

<P>**4. Proof of US Citizenship for owners:** Provide any ONE of the following documents for enough firm owners who are US Citizens to demonstrate that the applicant firm is at least 51 percent owned and controlled by United States citizens: (Do NOT send Social Security cards.)

<P>a. Birth certificate,

<P>b. Current valid U.S. Passport, or

<P>c. Certificate of Naturalization.

<P>**5. Other key ownership related documents:** If your firm is a member of a franchise, provide a copy of the Franchise Agreement. If your firm is owned in part by an ESOP or Trust, provide a copy of the ESOP plan or Trust Agreement. If the firm has no such agreements; please indicate in writing that none of the above is applicable. Failure to provide a response to this request will cause a delay in the processing of the application.

<P>NOTE: Please review Section C of your application to ensure that all who are board members, officers and/or stockholders named in the documents requested above have been properly identified in your application, as omitting such key individuals is a common cause of application processing delays. If after reviewing Section C you find that corrections are required, please contact the individual who sent you this request (or the HUBZone Helpdesk if you cannot contact that individual) to have your application corrected.

<P>**Documents demonstrating your firm meets HUBZone Employment and Principal Office requirements:**

<P>**6. Firm location list:** Provide a complete list of all locations maintained by your firm or used as jobsites. Please provide the following information for the principal office, all locations and jobsites. This listing must include the following for EACH location:

<P>a. Complete address for all office locations and each applicable jobsite location(s).

<P>b. Specification of which of the following 3 location types it is:

<P>1) **Principal Office** – Location maintained by your firm (i.e., owned or leased by your firm) where the greatest number of your firm’s employees at any one location perform their work.

<P>2) **Other firm location(s)** – Location(s) maintained by your firm which are NOT the Principal Office.

<P>3) **Job site** – Firms whose “primary industry” (see 13 CFR 121.107) is service or construction (see 13 CFR 121.201) should classify as job sites all locations used to fulfill specific contract obligations.

<P>c. Provide a listing of all employees working at the Principal Office.

<p>d. Provide the number of hours that each employees performs their work at the principal office location.

<P>e. Please include the days of week and business hours each office is staffed.

<p>f. Provide the number of hours that each employees performs their work at other office location(s).

<p>g. Please include the days of the week and business hours each office is staffed at other office location(s).

<p> Please Note: If the firm only operates from the principal office location and there are no other locations or jobsites, please provide the requested information for the principal office location and indicate that there are no other locations and or jobsites in writing. Failure to provide responses for the principal office location, other locations and any jobsite locations will cause a delay in the processing of the application.

<P>7. **Lease/rental agreement/deed for Principal Office:** Provide a copy of a fully executed lease/rental agreement or deed for the firm's Principal Office location which is valid and in full effect at the time of electronic verification of your application. Your firm’s full legal name must be identified as being the lessee, renter, or owner. If your lease/rental agreement or deed only includes a parcel description, you must also provide a property tax bill and/or insurance policy supporting the physical address of the Principal Office location. Note that the property tax bill and/or insurance policy is for verification of the physical address only – submission of this document in lieu of the required lease or deed is not acceptable.

<P>8. **Utility bill for Principal Office:** Provide a copy of a utility bill for the firm’s Principal Office that covers the period of time including the electronic verification of your application. Examples include gas, electric, water, sewer or landline telephone. Cellular phone bills are NOT acceptable. If utilities are included with the rent and you cannot provide a land-line telephone bill, you must provide evidence that utilities are included

with the rent, e.g., lease/rental agreement or signed affidavit from lessor indicating this is the case.

<P>**9. Employee list:** Provide a complete listing of all who work for the firm at the time of electronic verification, including paid or unpaid owners, salaried or hourly-wage employees, and temporary workers. This listing must include for each individual:

<P>a. Complete name

<P>b. Description of type of worker, e.g., salaried, included in payroll, owner, leased, obtained through PEO, obtained through union agreement, shared with affiliate, temporary, etc. Note that some individuals may require multiple designations in the description, "owner, salaried, included in payroll."

<P>c. Whether or not resides in a HUBZone – This should be supported by the documents specified below regarding HUBZone maps and identification/proof of residence

<P>d. Number of hours worked per MONTH

<P>e. Primary work location, e.g., Principal Office, other firm location, OR jobsite – If the individual works at more than one location, select the location where the individual spends the single greatest portion of their time. (As an example, if an employee works 16 hours per week at the "Principal Office," 12 hours per week at an "other firm location," and 12 hours per week at a "job site," specify the Principal Office as the primary work location.)

<P>Note this listing is separate from the official payroll record and must include all items (a) through (e) for each individual. Failure to provide this listing with all the information as requested is a common cause of application processing delays – please complete this carefully and thoroughly.

<P> **Contractor List:** Provide a complete listing of all independent contractors the firm is working with at the time of electronic verification. If there are no independent contractors working with the firm, then please state so in your response. Otherwise, please provide the following information with regard to any independent contractors:

- a. The complete name(s) of all independent contractor(s);
- b. Signed copies of all executed contracts;
- c. Detailed description of work performed by all independent contractors including the number of hours work, the type of work performed, and where they perform their work.
- d. Please provide copies of all invoices from the independent contractors, and proof of payment for all invoices;

- e. Do any of the independent contractors have or have they had in the past, business cards issued by your firm? If yes, please provide SBA with a copy of the business card;
- f. Do any of the independent contractors have email accounts issued to them by your firm? If so, please provide SBA with individual's email address.

<P>10. **Payroll records:** Copy of your firm's official payroll record from a time period which covers the date of electronic verification and shows at a minimum the employee's name, number of hours worked for that pay period, and wages with taxes and adjustments. (Salaried employees who do not have hours worked specified are assumed to work 40 hours per week.) This payroll record must clearly show the pay period's beginning and end dates, not just the pay date. Do NOT submit a combined summary of all the pay periods. Each pay period will need to be provided on a separate payroll record.

<P>Note that in order for us to consider a person working for your firm to be an employee, we must have evidence from your payroll records that the person works at least 40 hours in a month's time. All payroll records submitted must be for the time of electronic verification and PRIOR. For example if Payroll is paid on the 30th of the month and the application is submitted on June 2, 2013. The applicant firm must wait at minimum until the June 30, 2013 payroll is issued before the processing of the application may begin. In this example, we would be prohibited from using the May 30, 2013 payroll date because that date does not include the electronic verification date. For any employees working less than 40 hours in the payroll period which includes the date of electronic verification, you must also provide enough immediately previous payrolls to demonstrate that those employees work at least 40 hours in a month's time. As an example, if you have a weekly payroll system and an employee who works 10 hours the week of electronic verification, you would need to provide the 3 previous weekly payrolls in order to demonstrate that the person works 40 hours per month for a total of 4 weekly payrolls. The latest of these 4 contiguous payroll periods should include the date of application submission.

<P> Failure to provide payroll records meeting the above described requirements is a common cause of application denial – please review your payroll documents carefully and address any deficiencies before submission.

<P>11. **State and federal employment filings:** Provide complete copies of your firm's most recently available state unemployment tax filing and the most recently available federal employment quarterly report (Form 941- Employer's Quarterly Federal Tax Form). The state unemployment report must include the employee listing supporting the summary of wages.

<P>12. **HUBZone maps of HUBZone residents' addresses:** Copies of the HUBZone Map to verify each HUBZone employees' residence is in a HUBZone. In order to provide the HUBZone map for each employee, select the following link: <http://map.sba.gov/hubzone/maps/>. You will then enter the physical address for EACH HUBZone employee. Please print the page using the Print page option at the top of the

screen. Please print the page exactly as it is displayed including the personal address for each individual. Altering the HUBZone Map or not providing the entire printout will make the document invalid. Please write legibly the employee's name at the bottom of each map. Provide a printed map for EACH employee - do NOT provide one locator for multiple employees.

<P>13. **Identification/proof of residence for HUBZone residents:** Copy of a VALID (unexpired) Department of Motor Vehicles driver's license, Department of Motor Vehicles Identification card, or voter's registration card for each of the firm's HUBZone resident employees. Do NOT send Social Security cards. The copy must be legible and show the employee's full name and address. If the address listed is no longer valid or is a PO Box, you must also provide a copy of a current lease agreement, mortgage statement, utility bill (not cell phone), or change of address card in the name of the individual which shows the HUBZone address where the individual resides. Failure to provide sufficient proof of HUBZone residency for employees could lead to your firm being proposed for decertification – please ensure you review this documentation carefully to ensure it meets the above described requirements BEFORE submission.

<p>NOTE: If mailing the documentation, please staple each HUBZone map to the corresponding resident employee's identification/proof of residence.

<P>**Document required to certify, under penalty of perjury, that all information and documentation submitted is true, accurate, and complete:**

<P> 14. Please select and print the appropriate HUBZone Program Certification Signature Sheet (based on your firm's ownership structure) by using one of the following links:

<P>a. HUBZone Program Certification for Applicants Owned by U.S. Citizens, ANCs or CDCs
<P><http://www.sba.gov/content/hubzone-program-certification-applicants-owned-us-citizens-ancs-or-cdcs>

<P>b. HUBZone Program Certification for Applicants Owned by Indian Tribal Governments
<P><http://www.sba.gov/content/hubzone-program-certification-applicants-owned-indian-tribal-governments-0>

<P>c. HUBZone Program Certification for Applicants Owned by Small Agricultural Cooperatives
<P><http://sba.gov/content/hubzone-program-certification-applicants-owned-small-agricultural-cooperatives-0>

<P>This form must be signed by an officer of the firm authorized to represent the applicant, notarized, and mailed in hardcopy. Note that regardless of how you choose to submit the above requested documentation, this form must be mailed in hard copy form. An email or faxed copy of the Program Certification Signature Sheet will NOT be accepted.

<P> Re-applied within 120 days from the date of the previous application: If a firm re-applies in less than 120 days from the date its previous application was withdrawn, declined, or decertified, it does not need to submit the following supporting documents, unless there has been a change since its most recent submission:

<P>1. Ownership documents such as corporate by-laws, stock certificates, articles of organization, etc.

<P>2. Federal Business Income Tax Returns for the applicant firm and all of its affiliates identified in the application for the most recently available previous 3 years.

<P>3. Most recently available 12 months of quarterly unemployment reports if firm's primary NAICS code has an employee based size standard

<P>4. Federal Personal Income Tax Returns for all owners who have 20% or more ownership of the firm

<P>5. Proof of US Citizenship for owners

<P>6. Franchise Agreement

<P>7. ESOP plan or Trust Agreement

<P>8. State and federal employment filings (Form 941- Employer's Quarterly Federal Tax Form)

<P>It is the firm's responsibility to proactively advise our office of the previous HUBZone application number and date they applied. If this information is not supplied by the firm, then this step is void. The HCTS notice the applicant receives after its application is electronically authorized, contains instructions regarding this shortened documentation submission. (See Electronic status "Received" application, auto communication)

During the processing of the application, the BOS must ask the firm to list any changes since [enter date of withdrawal, decline, or decertification]. If there have been no changes, the firm's officer authorized to represent the applicant and sign the HUBZone Program Certification on its behalf must submit the following statement:

<P>The undersigned verified and certifies that there has been no change in [enter all pertinent areas such as ownership, control, size, affiliation, principal office, etc.] since [HUBZone enter date of withdrawal, decline or decertification]. Any intentional or negligent misrepresentation may result in criminal, civil or administrative sanctions including, but not limited to: 1) fines of up to \$500,000, and imprisonment of up to 10 years, or both, as set forth in 15 U.S.C. § 645 and 18 U.S.C. § 1001, as well as any other applicable criminal laws; 2) treble damages and civil penalties under the False Claims Act; 3) double damages and civil penalties under the Program Fraud Civil Remedies Act; 4) suspension and/or debarment from all Federal procurement and nonprocurement transactions; and 5) program termination.

<P>How to obtain assistance:

<P>Please contact the HELPDESK through e-mail at hubzone@sba.gov if you have any questions while collecting this information and documentation, especially if you find that you cannot provide any of the requested items. Please note that if all of the supporting

documentation being requested is not received within the allotted time frame, your application may be withdrawn or declined. Failure to submit information and documentation within the allotted time frame is a common cause of applications being withdrawn or declined – please make note of your submission deadline.

FIRM'S OPTIONS

OPTION 1: You may submit the documentation requested above. If all of the requested documentation is not received in our office by the close of business on **17 July 2013**, then SBA will make a final determination based upon the documentation we currently have in your file. Failure to provide the requested supporting documentation may result in the SBA drawing an adverse inference and your firm's application being declined. If your application is declined, you will be unable to reapply for HUBZone certification for a period of **90 days** from the decline date (13 CFR §126.309).

A concern may apply to SBA and submit the required information whenever it can represent that it meets the eligibility requirements, subject to §126.309. All representations and supporting information contained in the application must be complete and accurate as of the date of submission. (13 CFR §126.302).

OPTION 2: You may request to have your application withdrawn. If you are unable to provide the requested documentation on **17 July 2013**, you may request to have your application withdrawn to allow you more time to obtain the requested information. **YOUR REQUEST TO WITHDRAW MUST BE RECEIVED IN OUR OFFICE BY 17 July 2013.** If your application is withdrawn, and you decide to submit a new application, it will be handled on a first in, first out basis.

The HUBZone office offers eligibility assistance on Tuesdays and Thursdays from 2:00 to 3:00 p.m. EST via a toll free number: 1-888-858-2144 Access code 3061773 #. This is an interactive conference call where HUBZone staff presents a specific eligibility topic followed by a general question session. Firms seeking specific status of its application or answers about the supporting documentation requested, need to e-mail the SBA HUBZone Business Opportunity Specialist working on the application because that person would be in the best position to provide individual assistance. Remember to periodically visit our website at <http://www.sba.gov/hubzone>, for the latest information regarding HUBZone eligibility.

Please remember to check your email SPAM folder to make sure that you are receiving all the emails from SBA. Some emails from SBA may not reach recipients because certain email filters may assume that the messages are spam, and block them accordingly.