

# Initial Application

## Sole Proprietor Doc Request

### HUBZone Program Supporting Documentation Request

Thank you for your interest in the HUBZone Program. 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.

The electronic verification date for your firm's application is **the date on which the applicant completes the electronic verification** that requires the highest ranking official of the firm to execute this action. The verification notice will be sent to the firm via electronic communication.

The supporting documentation requested below must be RECEIVED by the SBA by the close of business on **the date identified in the notice. Please do not send documents until SBA has contacted you.** You may send this documentation via email, fax, or mail. 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](mailto: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 you wish to send the documents via mail, the address is: **SBA HUBZone Support, 2911 Esters Road #303, Irving, Texas 75062**. We strongly recommend that when mailing information to SBA you select an option which allows you to track the shipment. Note that regardless of the method you choose to send the supporting documentation, you will need to mail a signed and notarized form certifying that all the information submitted with your application, including the supporting documentation requested below, is true, accurate and complete. This form (which is item number 14 of the document request) CANNOT be emailed or faxed.

### Documents demonstrating your firm meets Ownership & Control and Size requirements:

- 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:

### **SOLE PROPRIETORS**

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.

**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.

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.

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

**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.

**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.)

- a. Birth certificate,
- b. Current valid U.S. Passport, or
- c. Certificate of Naturalization.

**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.

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.

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

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:

a. Complete address for all office locations and each applicable jobsite [location\(s\)](#).

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

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

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

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

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

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

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

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.

**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.

**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.

**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:

- a. Complete name
- 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."
- 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
- d. Number of hours worked per MONTH
- 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.)

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.

**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.

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 30<sup>th</sup> of the month and the application is submitted on June 2, 2010. The applicant firm must wait at minimum until the June 30, 2010 payroll is issued before the processing of the application may begin. In this example, we would be prohibited from using the May 30, 2010 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.

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.

**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.

**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.

**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.

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

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

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:

- a. HUBZone Program Certification for Applicants Owned by ANCs  
[http://www.sba.gov/sites/default/files/hubzone\\_signature\\_usc\\_anc\\_cdc\\_0.pdf](http://www.sba.gov/sites/default/files/hubzone_signature_usc_anc_cdc_0.pdf)
- b. HUBZone Program Certification for Applicants Owned by CDCs  
[http://www.sba.gov/sites/default/files/hubzone\\_signature\\_usc\\_anc\\_cdc\\_1.pdf](http://www.sba.gov/sites/default/files/hubzone_signature_usc_anc_cdc_1.pdf)
- c. HUBZone Program Certification for Applicants Owned by Indian Tribal Governments  
[http://www.sba.gov/sites/default/files/hubzone\\_signature\\_itg.pdf](http://www.sba.gov/sites/default/files/hubzone_signature_itg.pdf)
- d. HUBZone Program Certification for Applicants Owned by Small Agricultural Cooperatives  
[http://www.sba.gov/sites/default/files/hubzone\\_sac.pdf](http://www.sba.gov/sites/default/files/hubzone_sac.pdf)
- e. HUBZone Program Certification for Applicants Owned by U.S. Citizens  
[http://www.sba.gov/sites/default/files/hubzone\\_signature\\_usc\\_anc\\_cdc.pdf](http://www.sba.gov/sites/default/files/hubzone_signature_usc_anc_cdc.pdf)

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.

**Supplying the Documentation:**

via E-mail send to:

[hubzonedocuments@sba.gov](mailto:hubzonedocuments@sba.gov)

or, via Mail address to:

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

or via fax send to:

202-481-6443

We strongly recommend that when mailing information to SBA you select an option which allows you to track the shipment (i.e., FedEx, UPS, etc.).

**How to obtain assistance:**

Please contact the HELPDESK through e-mail at [hubzone@sba.gov](mailto: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.