

<i>To be completed by Private Certifier or SBA</i>	
Name of Private Certifier _____	Private Certifier ID Number _____
Date Application Received: _____	SDB Case #: _____

Small Disadvantaged Business Certification Application
Alaska Native Corporation (ANC) Owned Concern

Name of Alaska Native Corporation (ANC) _____

Address of ANC _____

Name of applicant firm: _____

Applicant concern is: Corporation Limited Liability Company Partnership

Name of President/Managing Member / Managing Partner _____

EIN: _____ E-mail Address: _____

Business Address: _____ County _____

City: _____ State: _____ Zip Code: _____

Phone Number: _____ Fax Number: _____

Mailing Address (if different than above): _____ County _____

City: _____ State: _____ Zip Code: _____

PRO-Net User ID#, if applicable: _____

Is the firm located in a HUBZONE area? ___ Yes ___ No.

What is the firm's (4 digit) primary standard industrial classification code? _____

Is the firm certified as a DBE by a Department of Transportation recipient?
___ Yes ___ No. If yes, provide State(s) and ID number(s) _____.

Does the firm have any other certification as a disadvantaged business entity, i.e., MBE, DBE, WBE, etc.? ___ Yes ___ No. If yes, provide State(s) and ID number(s) _____.

Business Eligibility Statement

Part 1 - Social Disadvantage

1. The Alaska Native Claims Settlement Act provides that a concern which is majority owned by an ANC shall be deemed to be owned and controlled by Alaska Natives and qualifies as an economically disadvantaged business.

Do Alaska Natives and descendants of Natives own a majority of both the total equity of the ANC and the total voting powers to elect directors of the ANC through their holdings of settlement common stock (Settlement common stock means stock of an ANC issued pursuant to 43 U.S.C. 1606(g)(1) which is subject to the rights and restrictions listed in 43 U.S.C. 1606(h)(1)? Yes No. If yes, provide verification of the percentage of Alaska Native ownership of the parent ANC as attachment 1A.

Part 2 - Economic Disadvantage

2. Firm(s) owned and controlled by Alaska Native Corporations are considered to be economically disadvantaged.

Part 3 - Ownership

Corporation:

3. If more than one class of stock, provide information for each class:

	Voting	Non- Voting	Total
3a. Total number of shares authorized:	_____	_____	_____
3b. Total number of shares currently outstanding:	_____	_____	_____

Limited Liability Company:

3. If more than one class membership interest, provide information for each class:

	Voting	Non- Voting	Total
3a. Total number of memberships authorized:	_____	_____	_____
3b. Total number of memberships currently outstanding:	_____	_____	_____

Partnership:

3. Provide the name, title, and percentage of ownership for each partner of the firm. Does the partnership agreement reflect the ownership of each partner? Yes No.

Name	Title	Ownership %
_____	_____	_____
_____	_____	_____

Questions 4 through 8 are for Corporations & LLCs ONLY:

4. List all entities, individuals, and/or trusts which have an ownership interest in the applicant firm.

Name	Title	Ownership		% Total
		Voting	Non-Voting	
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

5. Does the parent ANC receive at least 51% of the annual distributions of dividends paid on the stock of a corporate applicant firm? ___Yes ___ No. If no, please explain as Attachment 5A.
6. Will the parent ANC receive 100% of the unencumbered value of each share of stock owned in the event that the stock is sold? ___ Yes ___ No. If no, please explain as Attachment 6A.
7. If the corporation dissolves, will the parent ANC receive at least 51% of the retained earnings and 100% of the unencumbered value of each share of stock owned? ___Yes ___ No If no, please explain as Attachment 7A.
8. Is ownership by the parent ANC subject to conditions precedent, conditions subsequent, executory agreements, voting trusts, shareholder agreements or other similar arrangements which may impact the unconditional ownership of such individuals? ___Yes ___ No. If yes, explain as Attachment 8A.

Corporations, LLCs & Partnerships:

9. Have there been any changes in ownership in the last year? ___Yes ___ No. If yes, did ownership affect the disadvantaged status of your firm? Please explain as Attachment 9A.

Part 4 - Control

10. A firm that is at least 51 percent owned by an ANC is considered to be controlled by the ANC.

Each person signing below:

1. Certifies that the information he or she provided, including that shown on documents accompanying this application, is true, accurate and complete to the best of his or her knowledge and belief.
2. Acknowledges that SBA, at its discretion, may give the information submitted to Federal, state and local agencies for determining violations of law.
3. Acknowledges that SBA's or a Private Certifier's approval of an application does not affect the Government's right to pursue criminal prosecution for incorrect or incomplete information given on the application form, even if correct information has been included in other materials submitted to SBA or a Private Certifier.

Business Eligibility Certification

To be eligible for SDB certification, a firm must be a small for profit business which is at least 51% owned and controlled by an Alaskan Native Corporation (ANC). Signing below indicates that the firm meets the above requirements.

For Corporation:

Signature of President/CEO: _____ Date: _____

For LLC:

Signature of Managing Member: _____ Date: _____

For Partnership:

Signature of Managing Partner: _____ Date: _____

Under Title 18 U.S.C. Section 1001 and Title 15 U.S.C. Section 645, any person who misrepresents a firm's status as a Small Disadvantaged Business Concern, or makes any other false statement in order to influence the certification process in any way, or to obtain a contract awarded under the preference programs established pursuant to section 8(a), 8(d), 9, or 15 of the Small Business Act, or any other provision of Federal Law that references Section 8(a) for a definition of program eligibility shall be:

1. Subject to fines and imprisonment of up to 5 years, or both, as stated in Title 18 U.S.C. Section 1001; and subject to fines of up to \$500,000 and imprisonment of up to 10 years, or both, as stated in Title 15 U.S.C. Section 645.
2. Subject to civil and administrative remedies, including suspension and debarment.
3. Ineligible for participation in programs conducted under the authority of the Small Business Act.

PLEASE NOTE: The estimated burden hours for the completion of this form is 3 hours per response. You will not be required to respond to this information collection if a valid OMB approval number is not displayed. If you have questions or comments concerning this estimate or other aspect of this information collection, please contact the U.S. Small Business Administration, Chief, Administration Information Branch, Washington, D.C. 20416 and/or Office of Management and Budget, Clearance Officer, Paperwork Reduction Project (3245-0317), Washington, DC 20503.

Helpful Hints:

1. **Submit a Complete Application Package.** Fill out the entire application and send all requested documentation. Carefully read and follow all of the application notes and instructions especially the SDB Certification Checklist.

A Complete Application Package Consist of the Following Forms:

SBA Form 2065 (Application); SBA Form 355 (Size Determination Document); SBA Form 413 (Personal Financial Statement) [**Complete a separate form for your spouse**]; IRS Form 4506 (Tax Transcript).

And additional required information outlined in the SDB Certification Checklist, i.e., personal tax documents with all schedules, history of business statement, banking account signature information, lease and the like.

2. **Sign and Date All Documents.** Check that all sections and documents are signed and dated, as required.
3. **Net Worth Calculation.** The net worth of the individual(s) claiming disadvantaged status should be calculated by excluding that individual's interest in the applicant business and his or her equity in the primary residence from the assets; the liabilities are then subtracted from the assets.

$$\text{Assets} - \text{Liabilities} - \text{Exclusions} = \text{Net Worth}$$

4. **U.S. Citizenship.** Each individual claiming disadvantaged status must be a citizen of the United States, born or naturalized.
5. **Size.** A firm requesting SDB status must qualify as small, per Title 13 Code of Federal Regulations (C.F.R.) Part 121, for the size standard corresponding to the firm's primary four digit Standard Industrial Classification (SIC) Code. The primary SIC code should represent the largest portion of sales from the recently completed fiscal year.
6. **SDB Regulations.** The regulations governing the SDB program (primarily 13 C.F.R. Parts 121 and 124) are located on the SBA Home Page on the Internet (<http://www.sba.gov/>).
7. Additional required information is outlined in the SDB Certification Checklist. However, for each business type, specific sections of the SDB Checklist **must** be completed. For example:

Sole Proprietorship Application – Complete Section I of the SDB Certification Checklist.

Partnerships – Complete Sections I & II.

Corporation – Complete Sections I & III.

Limited Liability Company – Complete Sections I & IV.

For further information, call 1-800-558-0884.

(7/28/99)