

Owners and Key Management Information

This following information is needed for each stockholder owning 20% or more stock as well as all officers even if they are not owners.

Legal Name: _____
 First Middle (Maiden) Last Social Security #

OWNERSHIP PERCENTAGE: _____ CORPORATE TITLE: _____

 Date of Birth City and State of Birth Alien # if not US Citizen Race

 Marital Status E-Mail address

 Current Home Address City State Zip

From: (mo/yr) _____ to Present Home Phone: _____ Business Phone: _____

 Immediate Past Address City State Zip

From: (mo/yr) _____ to _____

SBA uses a search system called LexisNexis to perform background checks on all borrowers and guarantors. If you have ANY past CRIMINAL charges or CIVIL cases, however minor, the system WILL locate them. PLEASE DISCLOSE ALL CIVIL, CRIMINAL –including misdemeanors- or CREDIT matters- including BANKRUPTCIES. Disclosure will rarely disqualify your loan. Failure to disclose will.

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|----|--|----|--------------------------|-----|--------------------------|
| 1. | Are you presently subject to an indictment, criminal information, arraignment, or other means by which formal criminal charges are brought in any jurisdiction? | NO | <input type="checkbox"/> | YES | <input type="checkbox"/> |
| 2. | Have you been arrested in the past six months for any criminal offense? | | <input type="checkbox"/> | | <input type="checkbox"/> |
| 3. | For any criminal offense – other than a minor vehicle violation – have you ever: | NO | | YES | |
| | 1) been convicted; 2) plead guilty; 3) plead nolo contendere (no contest); | | | | |
| | 4) been placed on pre-trial diversion; 5) been placed on any form of parole or probation (including probation before judgment). | NO | <input type="checkbox"/> | YES | <input type="checkbox"/> |
| 4. | Are you, any of your children, your parents or your spouse employed by, directors of, officers of or stockholders of the participating bank or the SBA or SCORE or any Federal Agency? | NO | <input type="checkbox"/> | YES | <input type="checkbox"/> |
| 5. | Have you ever filed for corporate or personal bankruptcy or been involved in insolvency proceedings? | NO | <input type="checkbox"/> | YES | <input type="checkbox"/> |
| 6. | Are you or your business involved in any pending lawsuits? | NO | <input type="checkbox"/> | YES | <input type="checkbox"/> |
| 7. | Do you have ownership in any other businesses?
Provide Name of business, % of ownership & copy of most recent financial statement | NO | <input type="checkbox"/> | YES | <input type="checkbox"/> |
| 8. | Do you or any of your affiliated businesses have any existing debt with SBA guarantees? | NO | <input type="checkbox"/> | YES | <input type="checkbox"/> |
| 9. | Have you or any of your affiliate businesses ever caused a loss to the Government from prior federal assistance? | NO | <input type="checkbox"/> | YES | <input type="checkbox"/> |

If you answered yes to any of above these questions, please supply details on separate sheet.

OWNERS ONLY: Please check all that apply. (NOTE: This information is optional. It is requested to determine eligibility for special loan & technical assistance programs.)

Female Minority Veteran Handicapped Disadvantaged

 Signature

 Date