



Application for Financing SBA 7(a) [preliminary]

Application Date: _____
Business Development Officer: _____
How did you learn about Pathward? _____

COMPANY INFORMATION

Legal Name: _____ Fed ID #: _____

DBA: _____ Prior Name(s) including merged entities: _____

Address: _____ City: _____ State: _____ ZIP Code: _____

Phone: _____ Fax: _____ County/Parish: _____ Website: _____

Mailing Address (if different from above): _____ City: _____ State: _____ ZIP Code: _____

DAILY CONTACT PERSON Name: _____ Title: _____

Phone: _____ Mobile: _____ Email: _____

BUSINESS DESCRIPTION: _____

INDUSTRY / NAICS CODE: _____ Number of Employees: _____ DUNS #: _____

FORM OF BUSINESS: ☐ Sole Proprietor ☐ Partnership ☐ Limited Partnership ☐ LLC ☐ Corporation Date Established: _____

STATE or JURISDICTION OF INCORPORATION / ORGANIZATION: _____

OTHER LOCATIONS (attach additional sheets if necessary): _____

Business/Principals current on all taxes?: ☐ Yes ☐ No If no, please explain: _____

Bankruptcy filings (company or any principals): ☐ Yes ☐ No If yes, which type(s) and date(s): _____

Any current or prior security interests or liens, judgements, suits, criminal charges /convictions, legal proceedings, regulatory actions against company, or principals / shareholders/officers?:
Yes ☐ No ☐ If yes, please explain: _____

Are all owners (including shareholders) and officers/directors U.S. Citizens, or have the legal right to be in the United States?
☐ Yes ☐ No If not, please provide Photocopies of your Passport; and also your Work VISA or Permanent Resident Card (Form I-551) with this Application

Has company been involved in a merger or acquisition within the last two (2) years? ☐ Yes ☐ No If yes, please provide copy of purchase / sale agreement.

Please provide names of all entities either owned or operated by primarily same principals for last two (2) years: _____

Does the Applicant business have any Affiliates? (20%+ ownership in another entity) ☐ Yes ☐ No If yes, please list below. _____

PRINCIPALS, GUARANTORS & SHAREHOLDERS (Attach additional sheets if necessary)

OWNERSHIP MUST TOTAL 100%

NAME (full legal):	Title:	% Ownership:
Home Address:	City:	State: Zip Code:
Phone:	Mobile:	County:
Date of Birth:	Social Security #:	Email Address:
Valid Drivers License Number and State, or Valid Passport Number:	United States Citizen?: <input type="checkbox"/> Yes <input type="checkbox"/> No	If not, provide Photocopies of your Passport; and also Work VISA or Permanent Resident Card (Form I-551)
Do you have an interest in any other businesses? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please explain:		

NAME (full legal):	Title:	% Ownership:
Home Address:	City:	State: Zip Code:
Phone:	Mobile:	County:
Date of Birth:	Social Security #:	Email Address:
Valid Drivers License Number and State, or Valid Passport Number:	United States Citizen?: <input type="checkbox"/> Yes <input type="checkbox"/> No	If not, provide Photocopies of your Passport; and also Work VISA or Permanent Resident Card (Form I-551)
Do you have an interest in any other businesses? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please explain:		

NAME (full legal):	Title:	% Ownership:
Home Address:	City:	State: Zip Code:
Phone:	Mobile:	County:
Date of Birth:	Social Security #:	Email Address:
Valid Drivers License Number and State, or Valid Passport Number:	United States Citizen?: <input type="checkbox"/> Yes <input type="checkbox"/> No	If not, provide Photocopies of your Passport; and also Work VISA or Permanent Resident Card (Form I-551)
Do you have an interest in any other businesses? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please explain:		

USE OF LOAN PROCEEDS**SOURCES**

1.	SBA Loan:
2.	Equity:
3.	
4.	
TOTAL:	TOTAL:

DEBT SCHEDULE

Name of Lender	Balance	Rate	Maturity	Payment/ Month	Sourced by	Copy of Note Included
1.						
2.						
3.						
4.						
5.						
TOTAL:						

APPLICANT QUESTIONS *(Guarantors with over 20% ownership must answer 12 questions below; attach additional sheets if necessary)*

Guarantor Legal Name:

Social Security #:

1. Are you presently subject to an indictment, criminal information, arraignment, or other means by which formal criminal charges are brought in any jurisdiction? ☐ Yes ☐ No
2. Have you been arrested in the past six months for any criminal offense? ☐ Yes ☐ No
3. For any criminal offense – other than a minor vehicle violation – have you ever: a) been convicted; b) pleaded guilty; c) pleaded nolo contendere; d) been placed on pretrial diversion; or e) been placed on any form of parole or probation (including probation before judgement)? ☐ Yes ☐ No
4. Has an application for the loan you are applying for now ever been submitted to SBA or to a Certified Development Company or lender in connection with any SBA program? ☐ Yes ☐ No
5. Are you presented debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency? ☐ Yes ☐ No
6. If you are at least a 50% or more owner of the applicant business, are you more than 60 days delinquent on any obligation to pay child support arising under an administrative order, court order, repayment agreement between the holder and a custodial parent, or repayment agreement between the holder and a state agency providing child support enforcement services? ☐ Yes ☐ No
7. Are you a U.S. Citizen? ☐ Yes ☐ No Lawful Permanent Resident Alien? ☐ Yes ☐ No Provide Alien Registration Number: _____
8. Are any of your business' products or services exported or do you plan to begin exporting as a result of this loan? If yes, provide the estimated total export sales this loan will support: ☐ Yes ☐ No
9. Is your business a franchise? ☐ Yes ☐ No
10. Have you, the Applicant, its Affiliates, or any business owned or controlled by you or any Associate ever obtained a direct or guaranteed loan from SBA or any other Federal agency, or been a guarantor on such a loan? (This includes student loans and disaster loans). If yes, is any of the financing currently delinquent? ☐ Yes ☐ No
If yes, did any of this financing ever default and cause a loss to the Government? ☐ Yes ☐ No
11. What is the existing number of employees currently employed by the business? _____ Enter number of employees here: _____
12. Are any of the Applicant's revenues derived from gambling; or from the sale of products or services, the presentation of any depiction, displays or live performances of a prurient sexual nature? ☐ Yes ☐ No

DOCUMENTATION TO BE PROVIDED *(Required for Conditional Approval)**Check box if attached*

Two (2) Forms of Identification (Government Issued ID, Driver's License, Passport): _____ Each Principal /Guarantor ☐

Business Tax Returns: _____ Three Years Prior ☐

Business Interim Financial Statements: _____ Within 90 days ☐

Personal Tax Returns (All Owners 20% and more): _____ Three Years Prior ☐

SBA Form 413 : Personal Financial Statements (All Owners 20% and more): _____ ☐

I hereby certify that all information contained in this application is correct. I hereby authorize Pathward, its subsidiaries, its designated agents or assigns to conduct any investigation it sees fit as to the creditworthiness of the company and all principals individually by utilizing any credit reporting agency as and when needed, and to file the appropriate financing statements pursuant to the Uniform Commercial Code or applicable legislation, describing the collateral as all assets of the Debtor or similar language. I understand that the contents of said investigation and any ensuing reports will be, and remain, confidential. Without limiting the generality of the foregoing, I hereby authorize Pathward, its subsidiaries, agents and assigns to use, collect and disclose the foregoing information for the purposes stated herein. Pathward will take reasonable precaution to safeguard such information to prevent it from theft, loss, or unauthorized disclosure. Pathward will keep such information for as long as necessary to provide the financing contemplated herein and in accordance with its Privacy Policy. For any questions regarding Pathward's Privacy Policy, or if I wish to rectify any information provided to Pathward, I may contact Pathward at any telephone number appearing herein.

USA PATRIOT ACT NOTIFICATION – The following notification is being provided to you pursuant to Part 326 of the USA Patriot Act of 2001, 31 CFR 103.121(b)(5):

IMPORTANT INFORMATION ABOUT PROCEDURES FOR OPENING A NEW ACCOUNT To help the government fight the funding of terrorism and money laundering activities, Federal law requires all financial institutions to obtain, verify, and record information that identifies each person who opens an account. What this means for you: When you open an account, including any deposit account, loan, lease, or extension of credit, we will ask for your name, address, date of birth, and other information that will allow us to identify you. We may also ask to see your driver's license or other identifying documents.

Sign Individually, with Title: *Please have all principals / guarantors sign below; attach additional sheets if necessary.*

_____ Signature / Title	_____ Print Name	_____ Date
_____ Signature / Title	_____ Print Name	_____ Date
_____ Signature / Title	_____ Print Name	_____ Date

Commercial Finance / Michigan Office 5480 Corporate Dr., Ste 350 | Troy, Michigan 48098 main phone **248.641.5100** fax **248.641.5101**

EQUAL OPPORTUNITY NOTICE: The Federal Equal Credit Opportunity Act prohibits creditors from discriminating against credit applicants on the basis of race, color, religion, national origin, sex, marital status, age (providing the applicant has the capability to enter into a binding contract), because all or part of the applicant's income derives from any public assistance or program, or because the applicant has in good faith exercised any right under the Consumer Credit Protection Act. The federal agency that administers compliance with law concerning this creditor is: OFFICE OF THE COMPTROLLER OF THE CURRENCY (OCC) CUSTOMER ASSISTANCE GROUP, 1301 MCKINNEY ST., STE. 3450, HOUSTON, TX 77010-9050.