

CITY OF SPRINGFIELD, MASSACHUSETTS

Mayor Domenic J. Sarno

Springfield's Small Business Assistance Program

SMALL BUSINESS LOAN APPLICATION

Revised April 9, 2018

Please return complete application to: Anthony Moore City of Springfield Office of Planning & Economic Development 70 Tapley Street, Springfield, MA 01104 Phone: (413) 750-2810 E-mail: amoore@springfieldcityhall.com

APPLICATION CHECKLIST

PLEASE ATTACH THE FOLLOWING DOCUMENTS TO THE APPLICATION

□ Copy of your business certificate

- □ Business Plan Required
- □ Most recent 3 Years of Tax returns if applicable
- \Box If funding is committed from other sources, include a copy of the commitment letter(s).
- □ If funding from other source(s) was rejected, include a copy of the rejection letter(s)
- □ Employer CDBG Job Form (included)

□ W-9 (DUNS # Required) and Tax Certification Affidavit (included) Note: Please visit <u>http://www.sba.gov/content/getting-d-u-n-s-number</u> for assistance on how to get a DUNS number.

- □ Copies of artists' drawings or architectural plans
- □ Copy of Construction bids from (2) acceptable contractors
- □ Copy of the Lease;
- □ Copy of the Purchase and Sale agreement if applicable
- □ Copy of Liability Insurance Cover Sheet
- □ Copy of Workers Comp Insurance if applicable

□ Any other information deemed necessary by the City of Springfield, Office of Planning & Economic Development

		PROGRAM INFO	ORMATION		
PROGRAM TYPE:		AMOUNT REQUESTED	PROGRAM MAXIMUM	MONEY CAN NOT BE USED FOR	
Small Business Loan		\$	\$15,000	Tax on material	
APPLICANT/OW	VNER INFORMAT	ΓΙΟΝ			
Nam of Business/Build	ding Owner:	Business Phone: ()	Federal Tax ID:	Social Security Number (if you do not have a FID):	
Mailing Address: St./P	'O Box	Home Phone: ()	FAX Number: ()	E-Mail Address: @	
	·				
City:	State:	Zip:	Contact Name:		
Building Project Name	3:				
Street:		City:	State:	Zip:	
COMPANY NAME					
Company Name:			DBA:		
Company Address: St./PO		City:	State:	Zip:	
Registered with City of Springfield : Yes No		State of Incorporation/Formation/Registration			
Type of Ownership: ((Circle One)				
Sole Proprietor Partnership		Corporation Limited Liability Corp. Limited Liability Partner		ited Liability Partnership	
OWNER INFOR	RMATION (List all ow	vners below)			
Name: Percent of Ownership:		%	Title:		
Name:	Name: Percent of Ownership:		%	Title:	
Name:		Percent of Ownership:	%	Title:	
Name:		Percent of Ownership:	%	Title:	

LIST ALL OTHE	R LENDERS THAT A	ARE INVOLVED WITH	I THIS PROJECT		
First Lender:	Original Amount \$	Interest Rate:	Maturity Date:	Monthly Payment:	Balance Owing:
Phone #:	FAX #:	Account Number:		\$	\$
() -	() -	#		ψ	ψ
Second Lender:	Original Amount: \$	Interest Rate:	Maturity Date:	Monthly Payment:	Balance Owing:
Phone #:	FAX #:	Account Number:		\$	\$
() -	() -	#		φ	φ
COPY OF CERTIN	FICATE OF INSURA	NCE THAT INDICATE	S LIABILITY AND W	ORKERCOMP IN	SURANCE
Description line should in	dicate: The City of Spring	field is listed as additional insu	res per length of the contract.	Policy No.:	
PLEASE PROVID	E A BRIEF EXPLAN	ATION OF YOUR PLAN	NNED USE OF LOAN	PROCEEDS	
Rehab: Yes No	If Yes , give date: (mo/yr)				
		ng, electrical and mechanical syst	ems, new roof, etc.		
Desende sudetatat improv	venients needed such as near	ing, electrical and meenamear syst	enis, new 1001, etc		
APPLICANT INFO	ORMATION				
Duns Number:					
	done business under any oth	ner names(s)? Yes" No	If Vag ligt Name(a).		
	•		If Yes list Name(s):		
Do you have any City of S	Springfield funded projects	out of compliance? Yes	No		
The signer(s) certify that I true, correct and complete limited liability company, and agrees that this applic	he/she is authorized to execu b. The signer(s) further agree partnership, or limited liabil ation is subject to final appro	te this Application and that all inf es to notify the Lender promptly o ity partnership all owners/princip oval.	formation and documents subm f any material change in any su als listed must sign and include	itted, including federal inc ch information. If the Ap their title. The signer(s)	come tax returns, are plicant is a corporation, understands
Applicant=s Signature		Title		Date	
Applicant=s Signature		Title		Date	
Applicant=s Signature		Title		Date	
Applicant=s Signature		Title		Date	
Applicant=s Signature		Title		Date	

EMPLOYER CDBG JOB FORM

_(hereby referred to as "the Business") located at

_____ (Street Address) Springfield, MA agrees to create/retain _____

(FULL TIME) job(s) with the assistance received through the HUD's CDBG Program. For purposes of this

Agreement, 40 hr-week job is considered full time. As the business owner, I certify that without this

financial assistance, the jobs indicated would not be created and/or retained because

The Business certifies that the federally funded program has filled the following job(s):

Job Title	Job Type (see HUD's Definitions)	Hours per week	Health Benefits Offered (Yes/No)	Job Made Available to Low/Mod Income Individuals (Yes/No)

For the purpose of ensuring compliance under HUD regulations, the Business agrees to make available to the City of Springfield Office of Community Development any and all records and evidence related to the filling of these positions; including a listing by job title of the permanent jobs filled (job categories form attached), number of jobs with employer sponsored health care benefits, income verification and race/ethnicity.

I certify the information provided is true, correct and complete.

Business Owner Signature

Date

PRINT Name of Business Owner

EMPLOYEE CDBG JOB FORM

NOTE: Each employee claimed as a job created/retained must fill out one of these forms. This information will be kept confidential and only used for program reporting.

Employee Name:	Name of I	Employer:
Job Title:	Date Hired:	#of Hrs/Week:
Please answer the following questions:		
1. Health Benefits provided by Em	ployer?Yes	No
2. Race:		A ' T I' / A1 1 NT /
White		American Indian / Alaska Native
African American		Asian
Native Hawaiian/Other P	acific Islander	Asian / White
Black / African American	n / White	Other / Multi-racial
3. Hispanic or Latino Ethnicity:	_YesNo	

4. Circle the number of persons in your household and (X) the corresponding income level

	(222)		
	(30%)Income Limits	(50%)Income Limits	(80%) Income Limits
1 person	\$16,950	\$16,951-28,250	\$28,251-45,200
2 persons	\$19,400	\$19,401-32,300	\$32,301-51,650
3 persons	\$21,800	\$21,801-36,350	\$36,351-58,100
4 persons	\$25,100	\$25,101-40,350	\$40,351-64,550
5 persons	\$29,420	\$29,421-43,600	\$43,601-69,750
6 persons	\$33,740	\$33,741-46,850	\$46,851-74,900
7 persons	\$38,060	\$38,061-50,050	\$50,051-80,050
8 persons	\$42,380	\$42,381-53,300	\$53,301-85,250

Please note: Income is based on number of persons that are in the households. Each line is according to # of persons in the household. A household of 4 with income of \$30,000 they would fall under the very low income category; income of \$42,000 would fall under the Low category.

I certify the information provided is true, correct and complete.

Employee Signature

DUNS #: Do you have a DUNS # for your business? Yes _____ No _____

- a. If YES, please provide the DUNS #:
- b. If NO, please follow the instructions included in the back of this application "Obtaining a DUNS #"

(*Note:* Application may be submitted prior to obtaining the DUNS #. The Springfield Small Business Assistance Center or DPD staff can assist you in obtaining this number- it's easy and free of charge to you!)

Business Structure:	corporation	sole proprietorship_	partnership
	non-profit	limited liability company	(LLC)
Business Type/Descr	iption:		

Obtaining a DUNS Number

A Guide for Federal Grant and Cooperative Agreement Applicants

The Federal government requires that all applicants for Federal grants and cooperative agreements with the exception of individuals other than sole proprietors have a DUNS number. (See policy at: http://www.omb.gov/grants/grants docs). The Federal government will use the

DUNS number to better identify related organizations that are receiving funding under grants and cooperative agreements, and to provide consistent name and address data for electronic grant application systems.

Data Universal Number System (DUNS) Number

- The Data Universal Numbering System (DUNS) number is a unique nine-digit identification number provided by Dun & Bradstreet (D&B).
- The DUNS Number is site-specific. Therefore, each distinct physical location of an entity (such as branches, Offices, and headquarters) may be assigned a DUNS number. Organizations should try and keep DUNS numbers to a minimum. In many instances, a central DUNS number with a DUNS number for each major Office/department/agency that applies for a grant may be sufficient.
- In order to provide on-the-spot DUNS number assignment, the requestor should do this by telephone. (See telephone number below.)

Obtaining a DUNS Number

- You should verify that you have a DUNS number or take the steps needed to obtain one as soon as possible, if there is a possibility you will be applying for future Federal grants or cooperative agreements. There is no need to wait until you are submitting a particular application.
- *If you already have a DUNS number*. If you, as the entity applying for a Federal grant or cooperative agreement, previously obtained a DUNS number in connection with the Federal acquisition process or requested or had one assigned to you for another purpose, you should use that number on all of your applications. It is not necessary to request another DUNS number from D&B. You may request D&B to supply a family-tree report of the DUNS numbers associated with your organization. Organizations should work with D&B to ensure the right information is on the report. Organizations should not establish new numbers, but use existing numbers and update/validate the information associated with the number.
- *If you are not sure if you have a DUNS number*. Call D&B using the toll-free number, *1-866-705-5711* and indicate that you are a Federal grant applicant/prospective applicant. D&B will tell you if you already have a number. If you do not have a DUNS number, D&B will ask you to provide the information listed below and will immediately assign you a number, free of charge.
- If you know you do not have a DUNS number. Call D&B using the toll-free number, *1-866-705-5711* and indicate that you are a Federal grant applicant/prospective applicant. D&B will ask you to provide the information listed below and will immediately assign you a number, free of charge.

Managing Your DUNS Number

- D&B periodically contacts organizations with DUNS numbers to verify that their information is current. Organizations with multiple DUNS numbers may request a free family tree listing from D&B to help determine what branches/Offices have numbers and whether the information is current. Please call the dedicated toll-free DUNS Number request line at *1-866-705-5711* to request your family tree.
- D&B recommends that organizations with multiple DUNS numbers have a single point of contact for controlling DUNS number requests to ensure that the appropriate branches/Offices have DUNS numbers for Federal purposes.
- As a result of obtaining a DUNS number you have the option to be included on D&B's marketing list that is sold to other companies. If you do not want your name/organization included on this marketing list, request to be delisted from D&B's marketing file when you are speaking with a D&B representative during your DUNS number telephone application.

Obtaining a DUNS number is absolutely **FREE** for all entities doing business with the Federal government. This includes grant and cooperative agreement applicants/prospective applicants and Federal contractors. Be certain that you identify yourself as a Federal grant applicant/prospective applicant.

To Obtain Your DUNS Number

• Please call the dedicated toll-free DUNS Number request line for Federal grant and cooperative agreement applicants or prospective grant applicants at:

1-866-705-5711

The number is staffed from 8 a.m. to 6 p.m. (local time of the caller when calling from within the continental United States). Calls placed to the above number outside of those hours will receive a recorded message requesting the caller to call back between the operating hours.

The process to request number takes about 5-10 minutes. A DUNS number will be assigned at the conclusion of the call. You will need to provide the following information:

- Legal Name
- Headquarters name and address for your organization
- Doing business as (DBA) or other name by which your organization is commonly known or recognized
- Physical Address, City, State and Zip Code
- Mailing Address (is separate from Headquarters and/or physical address)
- Telephone Number
- Contact Name and Title

- Number of Employees at your physical location

TAX CERTIFICATION AFFIDAVIT FOR CONTRACTS

Individual Social Security Number	State Identification Number	Federal Identification Number
Company:		
P.O. Box (if any):	Street Address Only:	
City/State/Zip Code:		
Telephone Number:	Fax Numb	er:
List address(es) of all other property ov	wned by company in Springfield:	
Please Identify if the bidder/proposer is a:	Corporation	
Individual	Name of Individual:	
Partnership	Names of all Partners:	
Limited Liability Company	Names of all Managers:	
Limited Liability Partnership	Names of Partners:	
Limited Partnership	Names of all General Partners:	
You must complete the following ce does not apply to you, write N/A in	ertifications and have the signature(s) notarized on the blanks provided. FEDERAL TAX CERTIFICATI	-
	fy under the pains and penalties of perjury that	
(Authorized agent) belief, has/have complied with all Ur	(Bid nited States Federal taxes required by law.	lder/Proposer)
	Date:	
Bidder/Proposer	Authorized Person' s Signature	
<u> </u>	COMMONWEALTH OF MASSACHUSETTS TA	AX CERTIFICATION
Pursuant to M.G.L. c. 62C '49A, I,	certify under the pains	
to my best knowledge and belief, has/	(Authorized agent) /have filed all state tax returns and has/have complied	(Bidder/Proposer) d with all state taxes required by law.
	Date:	
Bidder/Proposer	Authorized Person' s Signature	
	CITY OF SPRINGFIELD TAX CERTI	FICATION
	fy under the pains and penalties of perjury that	
(Authorized agent) belief, has/have complied with all Cit	(Bid y of Springfield taxes required by law(has/have ent)	dder/Proposer) ered into a Payment Agreement with the City).
Bidder/Proposer	Authorized Person's Signature	

Notary Public

COMMONWEALTH OF MASSACHUSETTS

,ss.

_____, 2018

Then personally appeared before me [name]_______,[title]_______,[title]_________,of [company name]_______, being duly sworn, and made oath that he/she has read the foregoing document, and knows the contents thereof; and that the facts stated therein are true of his/her own knowledge, and stated the foregoing to be his/her free act and deed and the free act and deed of [company name]_____.

Notary Public

My commission expires:

YOU MUST FILL THIS FORM OUT COMPLETELY AND YOU MUST FILE THIS FORM WITH YOUR BID.

National Objective Compliance Certificate

In accordance with statutes and regulations set forth by the U.S. Department of Housing and Urban Development (HUD), activities funded through the Community Development Block Grant (CDBG) must be used to meet one of the three national objectives named by HUD. Those three objectives are (1) benefiting low-or-moderate-income persons ;(2) preventing or eliminating slums or blight and (3) meeting an urgent need. To be eligible for funding, every CDBG-funded activity must meet on of these here national objectives.

I, ______, certify that the activity proposed in this application for CDBG funding will meet on of the three national objectives as set forth above. The ______(Title) also certifies that it will maintain sufficient documentation to ensure compliance with national objectives.

Dated: _____

(signature of authorized agent)

(printed name of agent)

(agent title)

(If you are a sole proprietor or building owner without a business or employees and are not required to have workers compensation insurancecomplete this form)

AFFIDAVIT OF COMPLIANCE WITH WORKERS COMPENSATION INSURANCE REQUIREMENTS

I, _____, am an authorized representative of (Sub-recipient), a recipient of Community Development (CDBG) funds from Springfield, MA, and I have authority to submit this Affidavit on behalf of the Sub-recipient.

I hereby certify, under the pains and penalties of perjury, on behalf of myself and the Sub-recipient, that the Sub-recipient is aware of and is in full compliance with all worker's compensation insurance requirements under Massachusetts, federal and local laws and regulations, and under sections Section VI, B, C of the Community Development Block Grant Small Business Loan Agreement, as it relates to Workers' Compensation Insurance. I further certify, under the pains and penalties of perjury, on behalf of myself and the Sub-recipient, that the Sub-recipient will remain in compliance with such laws, regulations and contract requirements related to Worker's Compensation Insurance, during the entire term of the Agreement.

I further certify, under the pains and penalties of perjury, on behalf of myself and the Sub-recipient, that the Sub-recipient is not a corporation, **and** the Sub-recipient has no employees at this time that would be subject to the protection of Workers Compensation laws and regulations. I further certify and acknowledge, under the pains and penalties of perjury, on behalf of myself and the Sub-recipient, that if at any time during the term of the CDBG Sub-recipient Agreement, any person becomes employed by the Sub-recipient, the Sub-recipient will comply with the requirements of the Workers' Compensation laws and provide evidence of such coverage to the City of Springfield in accordance with the terms of the CDBG Sub-recipient Agreement.

Signed under the pains and penalties of perjury this _____ day of _____, 2018:

ignature:	
Printed Name:	
Name of Sub-recipient:	
- itle:	

Request for Taxpayer Identification Number and Certification

Give Form to the requester. Do not send to the IRS.

page 2.	2 Business name/disregarded entity name, if different from above	DUNS#:
Instructions on	Check appropriate box for rederal tax classification, check only one of the following seven boxes.	a Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3): Exempt payee code (if any) Exemption from FATCA reporting code (if any) (Applies to accounts meintained outside the U.S.)
See Specific	5 Address (number, street, and apt. or suite no.) Reque 6 City, state, and ZIP code .	ester's name and address (optional)
acku	your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid up withholding. For individuals, this is generally your social security number (SSN). However, for a	Social security number
ntitie	ent alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other es, it is your employer identification number (EIN). If you do not have a number, see <i>How to get a</i> n page 3.	or
lote.	. If the account is in more than one name, see the instructions for line 1 and the chart on page 4 for lines on whose number to enter.	Employer identification number

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and

 I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and

3. I am a U.S. citizen or other U.S. person (defined below); and

4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 3.

Here U.S. person ► Date	Sign Here	Signature of		2007
	nere	U.S. person -		Date

General Instructions

Section references are to the Internal Revenue Code unless otherwise noted. **Future developments.** Information about developments affecting Form W-9 (such as legislation enacted after we release it) is at www.irs.gov/fw9.

Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (TIN), adoption taxpayer identification number (ATIN), or employer identification number ((TIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following:

- . Form 1099-INT (interest earned or paid)
- · Form 1099-DIV (dividends, including those from stocks or mutual funds)
- · Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- · Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)

- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- · Form ross-c (canceled debi,
- Form 1099-A (acquisition or abandonment of secured property)

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding? on page 2.

By signing the filled-out form, you:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),

2. Certify that you are not subject to backup withholding, or

3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income, and

 Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct. See What is FATCA reporting? on page 2 for further information.

(Only fill out if you are a corporation or partnership)

VOTE OF CORPORATION AUTHORIZING EXECUTION OF CONTRACT

	I, the undersigned, a resident of	in the State of	hereby certify that I am
the _	or duly authorized officer of		, a Massachusetts
Corp	oration duly organized by law and that this is	s a true, correct and comple	te copy of vote prepared at a
meet	ing of the Directors of said corporation, duly	called and held on	, at which
meet	ing a majority of the Directors were present an	nd acting throughout.	

VOTED: That ______the ______of the ______of the ______of the ______

aforementioned corporation, be and hereby is authorized to affix the corporate Seal, sign and deliver in the

name and on behalf of the corporation a contract with the City of Springfield Office of Community

Development for CDBG Small Business the amount of \$15,000.00 effective for the Fiscal Year 2018

commencing ______ and ending ______ for activities authorized in accordance with the United

States Department of Housing and Urban Development.

I further certify that the said vote as set out above has not been revoked or rescinded and is now in full

force and effect, that said vote and action ordered thereby are in pursuance of the By-Laws of this Corporation.

IN WITNESS WHEREOF, I hereto set my hand this ______ day of _____, 2018.

Corporate Seal

Clerk/Secretary

*This Must be the Person Authorized in your By-Laws to sign contracts. NOTE: Since an Officer cannot certify to himself, this must be signed by someone other than the one signing the contract.

CITY OF SPRINGFIELD OFFICE OF PROCUREMENT 36 COURT STREET – CITY HALL SPRINGFIELD, MA 01103 413-787-6284 Telephone, 413-787-6295 Fax

VENDOR MAINTENANCE FORM

To be Completed	by Vendor (print clearly):		
Business Name:			
DBA:			
Send Purchase O	<u>der To:</u>		
Street:		T-14-14-14	
City:		State:	Zip Code:
<u>Remit To:</u> Street:	- Angel and a second		
City:		State:	Zip Code:
Federal ID#		or SS#	1.06.20FM-00-
Type of Service Pr	oviding to City: Technology_	Medical Cor	ntract Labor Service
	Other:		
Terms:			
Discount %	Days to Discount	Minimum Order	Days to Net:
Vendor Class:	Minority Owned	_ Woman Owned	Minority-Woman Owned
Purchase Order D	elivery Method: E-Mail:	FAX:	Regular Mail:
Contact Informati	, on:		
		Title:	the distance of the second
Telephone:	Fax:	Email	l:
Business Website:			

<u>NOTE:</u> This document must be included with your completed W-9 Form in order to be set-up as a City of Springfield Vendor. Mail or fax completed forms to the Office of Procurement. Thank you.