

NYS Small Business Storm Recovery Program

Applicant document checklist (1/3)



NOTE: Forms in italics may be completed at SBDC Centers

Grants

1 Owner identification - For all owners (with 20% or greater ownership share)

Any ONE of:

- New York State Enhanced Driver's License
- Driver's License / State ID AND a Birth Certificate
- US Passport
- Documentation of Legal Residence

AND

ALL of:

- SBA Statement of Personal History (SBA Form 912)*
- IRS W-9 (1 per business)*
- Non Profits Only: List of all board members and individuals with signing authority

2 Business Identification

Any ONE of:

- Certificate of Incorporation
- Articles of Organization
- Partnership Agreement
- Proof of Not-for-Profit Status
- Certificate of DBA
- Schedule C (Sole Proprietors only)

AND

Voided check for business bank account

3 Lease/Utilities/Insurance

ALL of:

- Executed Business premise lease / deed at time of the storm
- Electrical bill for service at time of storm
- Property Owners Only: Proof mortgage & property taxes are current

AND

Any ONE of:

- Proof of insurance on all impacted locations (including current flood insurance policy if applicable)
- Proof of no insurance (DOB Affidavit)

4 Proof of Damage

At Least ONE official comprehensive proof of loss statement(s) (provide all that apply):

- SBA DCMS Loss Verification Report
- FEMA Loss Report
- Insurance Claim Loss Report(s)
- NY Rising Inspection (AA/ECR)

OR

Record of Storm Impact AND Site Visit:

- At least ONE local record of storm impact:
 - Surge Map Location
 - Letter from Village / Town
 - Letter from Utility Company
 - Letter from DOT
 - Letter from DEC
 - Pictures of Storm Damage
- Detailed SBDC site visit write-up*

5 Articulation of Need (mark all that apply)

Receipts/Proof of Payment for Eligible replacement/repair costs ALREADY SPENT

Invoices/ Estimates for Eligible replacement/repair costs NOT YET SPENT

Receipts/Proof of Payment for Eligible mitigation costs ALREADY SPENT

Invoices/ Estimates for Eligible mitigation costs NOT YET SPENT

All Applicable Environmental and Building Permits

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Applicant document checklist (2/3)



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Grants (cont.)

6 Business Viability

ONE of:

- Proof that business is open and operating
- Proof the business is trying to re-open AND a *Business Plan* (Required for businesses actively working to reopen, with significantly negative cash flows or changing core business strategy)

7 Business Tax/Credit Forms

ALL of:

- 3 consecutive years of business tax filings between 2010-2013 OR *Signed IRS Form 4056-T* for business tax returns*
- NYS-45 for the quarter prior to the storm (Q3 2012 for Sandy; Q2 2011 for Irene and Lee) AND most recent quarter

8 Other Assistance

- Documentation of other assistance, public or private, applied for post storm, including current status (approved, denied, pending, and declined)

Working Capital Assistance

Not Applicable

9 Eligible Working Capital Expenses:

- 3 Consecutive months, prior to the storm, of (*All expenses must be for the same 3 month period*)
 - Rent / Mortgage (as evidenced by Executed Lease / Mortgage OR proof of payment)
 - Employee Wages (as evidence by NYS-45 for quarter prior to storm)
 - Electricity, Water and Gas Utilities (as evidenced by service provider bills)
- Proof of paid property taxes for 6 months following the storm
- Documentation noting duration of inability to conduct business (LIPA, DOT, Village/Town Letter)

Economic Hardship Assistance

Not Applicable

10 Eligibility Documentation

- At least ONE of:
 - Documentation of significant employment loss (as evidenced by NYS-45 for quarter prior to storm and corresponding quarter for year after the storm)
 - Decreased revenues of at least 30% (as evidenced by the 12 month period prior to the storm compared to the 12 month period after the storm)
 - Documentation the business has not reopened since the storm

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Applicant document checklist (3/3)



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Special Businesses Assistance

Not Applicable

11 Coastal Fishing

- License /permit or affidavit from New York State Department of Environmental Conservation (NYSDEC) for year(s) impacted by the storm (2011 for Irene or Lee; 2012 for Sandy)

12 Seasonal Tourism

- Monthly revenue statements for the year prior to storm impact - used to determine that 70% of income is earned within a 6 month period. (2010 / 2011 for Irene or Lee; 2011 /2012 for Sandy)

Additional Program Forms

15 Full Program Forms Signed by Applicant and Collected by SBDC

- | | |
|---|---|
| <input type="checkbox"/> <i>Consent and Release of Non-Public Information (1 per owner)</i> | <input type="checkbox"/> <i>Small Business Verification</i> |
| <input type="checkbox"/> <i>Business Demographics Form</i> | <input type="checkbox"/> <i>Applicant Certifications</i> |
| <input type="checkbox"/> <i>Duplication of Benefits (DOB) Affidavit</i> | <input type="checkbox"/> <i>ACH Form</i> |
| <input type="checkbox"/> <i>SBA Intake Form (#641)</i> | <input type="checkbox"/> <i>Opt-In Form</i> |
| <input type="checkbox"/> <i>SBA Loan Declination Form</i> (<input type="checkbox"/> N/A) | <input type="checkbox"/> <i>Confirmation of Interest Form</i> |
| <input type="checkbox"/> <i>Proposal Agreement Form</i> (<input type="checkbox"/> N/A) | |

Business Advisor Comments:

Business Advisor Signature:

Business Advisor Name (Printed):

Date: