

## BLAIR INSURANCE SERVICES INC

### SBA BONDS UP TO 5 MILLION- 10 MILLION FEDERAL

SECTION I: SBA APPS – Fill out attached apps – Must be typed – Can go on line to the SBA website but type each one separate and print because website does not save.

1. SBA Form 994 – Application for Surety bond Guarantee Assistance.  
Complete the entire application. They will not do where you subcontract 80% or more. No construction manager bonds. If excess of \$1,500 per day liquidated damages must be explained.
2. SBA Form 912 – Statement of Personal History.  
Need filled out for Proprietors, partners, and any owner that owns over 20%. Also spouse must do their own. If yes on 7 thru 9 please explain.
3. SBA Form 991 – Surety Bond Guarantee Agreement Addendum  
This form is needed if job is started.
4. SBA Form 994F – Schedule of Work in Process
5. SBA Form 413 – Personal Financial Statement  
Each owner and spouse must sign.
6. SBA Form 994R – Rider

### SECTION II: FORMS ATTACHED & ITEMS NEEDED

1. Bank Reference Letter (Bank Verification Form)  
Take attached form to every bank that you have checking and line of credit.
2. Contractor Questionnaire – Bonding company form
3. Need fill out HCC bond request form
4. Resume of owners and key employees
5. Certificate of insurance
6. Need 3 letters of recommendation of job experience (three largest job in last 3 years I would suggest) and 3 credit references (sample letter attached to put on your letterhead)

7. Business Financials Statements – 3 years if available  
Dated & signed by preparer, you & spouse  
Review statement is needed for people that want bonds for 1 M or more.  
Compilation Statement – if you want bonds \$400,000 to 1 Million.  
Internal Statement – if you want bonds for less than \$400,000  
If less than 3 yrs in business turn in Federal tax returns for those years not in business
8. For final bonds we need a copy of the contract with three lowest bids and award letter.

### SECTION III: INFORMATION

Bankruptcies & outstanding tax debts will be considered, but: Must include a copy of discharge order. Tax Lien must be explained and if still paid then give a copy of agreement – they will review – If paid off give copy of release of tax lien.

Will consider Asbestos Abatement & Other Hazardous Waste Projects, Underground Storage tank Removal but must submit copies of training & license.

Service & Supply multiyear contract will be considered – must underwrite year to year basis – the contract must say that an annual bond is required before each option year is exercised.

Design/Build Projects are now eligible. Phased Projects will be considered but must require definitive releases after completion of each phase. Joint ventures & Multiple Obligee bonds will be considered.

When requesting a final bond you will need to give us two checks. We would need one check for SBA for \$7.29 per \$1,000 for the guarantee. Check to us for \$18.00 per \$1,000.

This is a quick summary of SBA bond program but go to the website at <http://www.sba.gov/aboutsba/sbaprograms/osg/index.html> Full details of bond program can be found at site. Call Bonnie for any questions on my cell 814-931-1196. You can email me the forms after completed to have me review if you want to [blairbonni@aol.com](mailto:blairbonni@aol.com) or fax 877-771-3377 but we will need originals.



OMB Control No: 3245-0007  
 Expiration Date: 01-31-2013

**U.S. SMALL BUSINESS ADMINISTRATION  
 APPLICATION FOR SURETY BOND GUARANTEE ASSISTANCE  
 TO BE COMPLETED BY SMALL BUSINESS AND SUBMITTED TO THE SURETY AGENT OF CHOICE**

<b>PART I: BUSINESS INFORMATION (Complete for initial application and to change information previously submitted.)</b>					
Business Name:			Tax I.D. No. or SSN		
Business Trade Name:					
Business Address			Tel. No (Include Area Code)		Fax No. (Include Area Code)
City	County	State	Zip	Are There any affiliates Yes <input type="checkbox"/> No <input type="checkbox"/> (If yes, attach tax returns) Number of Employees (Including subsidiaries and affiliates)	
Type of Organization <input type="checkbox"/> Proprietorship <input type="checkbox"/> Partnership <input type="checkbox"/> Corporation <input type="checkbox"/> Joint Venture Type of Corp _____			Date Business Established		Average Annual Receipts Over last 3 years, Including Affiliates
Largest previous work program undertaken Total Dollar Value: _____			Total Number of Contracts: _____		
Type of Business			Primary NAICS Code		DUNS Number
Applicant: <input type="checkbox"/> is <input type="checkbox"/> is not an SBA 8(a) Certified Contractor <input type="checkbox"/> is <input type="checkbox"/> is not an SBA Certified HUB Zone Contractor <input type="checkbox"/> has <input type="checkbox"/> has not had an SBA loan. If so, Loan # _____ <input type="checkbox"/> has <input type="checkbox"/> has not received SBA Surety Bond Guarantee Assistance under another business name. If so, Business Name _____ Tax ID or SSN _____ <input type="checkbox"/> has <input type="checkbox"/> has not defaulted on any previous surety bonds (SBA or other) <input type="checkbox"/> has <input type="checkbox"/> has not ever failed to complete a job If so, include pertinent information in comments section. <input type="checkbox"/> is <input type="checkbox"/> is not requesting Business Development Assistance					
<b>PART II: Principal Information (Completed for initial application and to change information previously submitted)</b>					
MANAGEMENT (Proprietor, partners, officers, directors, all holders of 20 % or more outstanding stock – 100% of ownership must be shown) Use separate sheet if necessary					
Name and Social Security Number and Position/Title	Complete Address and Telephone Number	% Owned	*Gender		
			Veteran <input type="checkbox"/> Yes <input type="checkbox"/> No Service Disabled <input type="checkbox"/>		
Race*: American Indian/Alaska Native <input type="checkbox"/> Black/African American <input type="checkbox"/> Asian <input type="checkbox"/> Native Hawaiian/Pacific Islander <input type="checkbox"/> White/Caucasian <input type="checkbox"/>		Ethnicity *Hispanic/Latino <input type="checkbox"/> Not Hispanic/ Latino <input type="checkbox"/>			
*This data is collected for statistical purposes only. It has no bearing on the credit decision. Disclosure is voluntary. One or more boxes for race may be selected.					
Name and Social Security Number and Position/Title	Complete Address and Telephone Number	% Owned	*Gender		
			Veteran <input type="checkbox"/> Yes <input type="checkbox"/> No Service Disabled <input type="checkbox"/>		
Race*: American Indian/Alaska Native <input type="checkbox"/> Black/African American <input type="checkbox"/> Asian <input type="checkbox"/> Native Hawaiian/Pacific Islander <input type="checkbox"/> White/Caucasian <input type="checkbox"/>		Ethnicity *Hispanic/Latino <input type="checkbox"/> Not Hispanic/ Latino <input type="checkbox"/>			
*This data is collected for statistical purposes only. It has no bearing on the credit decision. Disclosure is voluntary. One or more boxes for race may be selected.					

SBA Form 994 (1/10) Previous Editions are Obsolete

PART III: CONTRACT INFORMATION (Completed for each bid and final bond guarantee)		
<input type="checkbox"/> Bid Bond	Estimated Contract Amount	Bid Date and Time
<input type="checkbox"/> Final Bond	Contract Amount	Start Date
		Completion Date
Project Type <input type="checkbox"/> Construction <input type="checkbox"/> Service <input type="checkbox"/> Supply <input type="checkbox"/> Other _____ Project Description:		Project Location
NAICS Code for this project		# Employees before this project was awarded
Name and Address of Obligor		# Existing Jobs that will be retained because of this project (Same job cannot be reported as new - below)
Obligor Type: <input type="checkbox"/> Federal <input type="checkbox"/> State <input type="checkbox"/> Local <input type="checkbox"/> Private <input type="checkbox"/> Special District		# New Jobs that will be created because of this project (Same job cannot be reported as retained - above)
Is the obligor the California Dept. of Transportation (CalTrans) <input type="checkbox"/> Yes <input type="checkbox"/> No		Is the prime or subcontract funded by the California Dept. of Transportation (CalTrans) <input type="checkbox"/> Yes <input type="checkbox"/> No
Applicant Business is <input type="checkbox"/> Prime <input type="checkbox"/> Subcontractor on this project		Percentage of work subcontracted:
Liquidated Damages <input type="checkbox"/> Weekdays Dollar Amount: _____ <input type="checkbox"/> Calendar Day	Project: Similar to previous work <input type="checkbox"/> Yes <input type="checkbox"/> No Pertains to an 8(a) contract <input type="checkbox"/> Yes <input type="checkbox"/> No	
Have you updated SBA Form 994F in the last 3 months? <input type="checkbox"/> Yes <input type="checkbox"/> No If not, please update.	Have you started work on the project? <input type="checkbox"/> Yes <input type="checkbox"/> No If so, please complete SBA Form 991.	
PART IV: AGREEMENTS, CERTIFICATIONS AND COMMENTS (Completed for Initial Applications and Each Bid and Final Bond Guarantee.)		
<p>Agreements: In consideration of assistance from the SBA, I agree to comply with the nondiscrimination requirements of Title 13, Code of Federal Regulations, Part 113 and Executive Order 11246. I agree to pay the applicable contractor fee and submit my check with any application for a final (payment or performance) bond.</p> <p>Certification: I certify:</p> <ul style="list-style-type: none"> <li>(a) A bid, payment, or performance bond is required by the bid solicitation or the original contract for this project</li> <li>(b) Applicant business has attempted and failed to obtain the required bonds without SBA's guarantee.</li> <li>(c) Percentage of work that applicant has subcontracted (see Part III) is accurate.</li> <li>(d) Applicant is not delinquent on any Federal debt or Federally Guaranteed Debt.</li> <li>(e) All information in this application and that relates to this application which has been submitted to SBA, any agent, broker, or surety company, is complete and accurate to the best of my knowledge.</li> <li>(f) If Parts I, II and V of this application, and/or "Statement of Personal History" (SBA Form 912) have previously been submitted in connection with an earlier application, I have reviewed that information and certify that it either remains complete and accurate or that I have submitted a revised application Parts I, II or V or revised SBA Form 912 with complete and accurate information to the best of my knowledge.</li> <li>(g) I authorize any agent, broker, surety company, or financial institution in possession of credit, financial or work experience information concerning the undersigned applicant and the applicant's business to release the same to SBA, in order that SBA may evaluate the same for the purpose of bond guarantee assistance.</li> </ul>		
Comments		
<p>I understand that knowingly making a false statement or submitting false information is a violation of Federal law and could result in criminal prosecution or civil penalties under 18 U.S.C. §§ 287, 371, 1001, 15 U.S.C. § 645, or 31 U.S.C. § 3729</p>		
Principal's Signature (Applicant)		
Title	Date	SBG Number

Part V: "STATEMENTS REQUIRED BY LAW AND EXECUTIVE ORDER AND CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY, AND VOLUNTARY EXCLUSION" (Completed for Initial Application and with any Ownership Changes)

APPLICANT'S CERTIFICATION

By my signature, I certify I have read and received a copy of the "STATEMENTS REQUIRED BY LAW AND EXECUTIVE ORDER" which was attached to this application. My signature represents my agreement to comply with the approval of my request for SBG Assistance and to comply whenever applicable with the hazard insurance, lead-based paint, civil rights or other limitations in this notice. I also certify that my personal history and financial information submitted to SBA electronically, as part of my application, is current, accurate, and complete.

Business Name: \_\_\_\_\_

By: \_\_\_\_\_  
Signature Title Date

Each Proprietor, each General Partner, each Limited Partner or Stockholder owning 20% or more, each Guarantor, and the spouse, when applicable, of each of these must sign. The person signing on behalf of the business must also sign individually.

\_\_\_\_\_  
Signature and Title Date

\_\_\_\_\_  
Signature and Title Date

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Signature and Title Date

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Signature and Title Date

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Signature and Title Date

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Signature and Title Date

\_\_\_\_\_  
Signature and Title Date

**PLEASE READ, DETACH, AND RETAIN FOR YOUR RECORDS**  
**STATEMENTS REQUIRED BY LAW AND EXECUTIVE ORDER**

Federal executive agencies, including the Small Business Administration (SBA), are required to withhold or limit assistance, to impose special conditions on approved guarantee agreements, to provide special notices to applicants and to require special reports and data from applicants in order to comply with legislation passed by the Congress and Executive Orders issued by the President and by the provisions of various inter-agency agreements. SBA has issued regulations and procedures that implement these laws and executive orders, and they are contained in Parts 113 and 117, Title 13, Code of Federal Regulations Chapter I, or Standard Operating Procedures.

**Freedom of Information Act (5 U.S.C. 552)**

This law provides, with some exceptions, that SBA must supply information reflected in agency files and records to a person requesting it. Information about approved SBG guarantee agreements that will be automatically released includes, among other things, statistics on the SBG programs (individuals are not identified in the statistics) and other information such as the names of small businesses (and their officers, directors, stockholders or partners), the amount of the SBG guarantee agreement. Proprietary data on an applicant would not routinely be made available to third parties. All requests under this Act are to be addressed to the nearest SBA office and be identified as a Freedom of Information request.

**Privacy Act (5 U.S.C. 552a)**

A person can request to see or get copies of any personal information that SBA has in his or her file when that file is retrievable by individual identifiers such as name or social security numbers. Requests for information about another party may be denied unless SBA has the written permission of the individual to release the information to the requestor or unless the information is subject to disclosure under the Freedom of Information Act.

Under the provisions of the Privacy Act, you are not required to provide your social security number. Failure to provide your social security number may not affect any right, benefit or privilege to which you are entitled. Disclosures of name and other personal identifiers are, however, required for a benefit, as SBA requires an individual seeking assistance from SBA to provide it with sufficient information for it to make a character determination. In determining whether an individual is of good character, SBA considers the person's integrity, candor, and disposition toward criminal actions. Before any bonds may be guaranteed by SBA pursuant to Section 411 of the Small Business Investment Act (the Act), 15 USC 694b, SBA is required to have a reasonable expectation that the applicant will perform the contract for which the bond is sought, and that the terms of and conditions of the bond are reasonable in the light of the risks involved and the extent of the surety's participation. Further, for all forms of assistance, SBA is authorized to make all investigations necessary to ensure that a person has not engaged in acts that violate or will violate the Small Business Investment Act, 15 USC Section 687(b)(a). For these purposes, you are asked to voluntarily provide your social security number to assist SBA in making a character determination and to distinguish you from other individuals with the same or similar name or other personal identifier.

The Privacy Act authorizes SBA to make certain "routine uses" of information protected by that Act. One such routine use for SBA's system of records is that when this information indicates a violation or potential violation of law, whether civil, criminal or administrative in nature, SBA may refer it to the appropriate agency, whether Federal, State, local, foreign, charged with responsibility for or otherwise involved in investigation, prosecution, enforcement or prevention of such violations. (See, 74F.R. 14890(April 1, 2009) (and as amended from time to time) for additional background and other routine uses.)

**Right to Financial Privacy Act of 1978 (12 U.S.C. 3401)**

This is notice to you as required by the Right of Financial Privacy of 1978, of SBA's access rights to financial records held by financial institutions that are or have been doing business with you or your business. The law provides that SBA shall have a right of access to your financial records in connection with its consideration or administration of assistance to you in the form of a Government SBG guarantee agreement.

The law also authorizes SBA to transfer to another Government authority any financial records included in an application for a SBG guarantee, or concerning an approved SBG guarantee, as necessary to process or service the guarantee. No other transfer of your financial records to another Government authority will be permitted by SBA except as required or permitted by law.

