



Small Business Express Program – List of Required Documents to Initiate an Application

- **One-page Small Business Express Program Application** (Online version or paper version with date)
- **Ownership:** (submit as a separate sheet)
 - **1.** List of individuals with an ownership interest in the business: (for each) full name, title and address
 - **2.** Federal Employer Identification Number (FEIN) and Social Security Number(s)
 - **3.** % of ownership of the business for each owner (e.g., each member of the LLC, all board of directors)
 - **4.** Identify the % of the business that is owned by women, if applicable
 - **5.** Identify the owners of ethnic minority, if applicable
- **Additional Information:**
 - **1.** Project Financing Plan & Budget, with project start and end dates, signed and dated (Please note that the budget form can be revised during the review process if necessary.); **AND**
 - **2.** Company financials:
 - **a.** Last three fiscal years of accountant-prepared financials, including notes **OR**
 - **b.** The following financial reports:
 - (1) Copies of the last 3 years income tax filings for company; **AND**
 - (2) accountant-compiled quarterly financials (e.g., Jan 1 to: Mar 31; Jun 30; Sep 30; Dec 31):
 - **i.** balance sheet (assets and liabilities),
 - **ii.** profit & loss statement (income and expense statement),
 - **iii.** cash flow statement; **AND**
 - (3) any information that helps to explain the current financial condition (such as copies of: current loans payable term sheets, real estate purchase agreements, signed machinery and equipment leasing or purchase agreements, summary of pending legal actions with monetary value, etc.)
 - **c.** Copy of business bank account showing most current balance (for all EXP grant requests); **AND**
 - **3.** Brief Project Description, Use of Funds Request (including supplemental details); **AND**
 - **4.** Brief Business Plan; **AND**
 - **5.** Applicant Structure Documentation:
 - **a.** Articles of Incorporation (corporation) or Articles of Organization (LLC), **AND**
 - **b.** By-Laws (corporation) or Operating Agreement (LLCs, LLPs, partnerships,...);
 - **6.** Schedule A – Salaries (jobs, hours, pay rate);
 - **7.** Copy of a signed lease (if asking for partial rent on the project financing plan and budget).
 - **8.** Does this company export outside the USA? Y / N -- Provide a Strategic Export Plan (if applicable)
 - **9.** CT Department of Labor (DOL) Employee Quarterly Earnings Report (UC-5); **AND**
 - **10.** CT Department of Labor Employer Contribution Return (UC-2); **AND**
 - **11.** DECD Schedule of Existing Employees (Exhibit A) and DOL Release (Exhibit B).

DECD may request more information to assess accuracy/viability of the proposals and to secure financing. No guaranty of funding approval.

Revised 9/29/15