

## APPLICANT CERTIFICATION FORM

### General Applicant Certification Form:

- This form should be completed by the business entity applying for the incentive.
- Applicant Key Individuals
  - Each box should include an individual, even if duplicative.
  - Full middle names **must** be included. If the individual does not have a middle name, include “(no middle name)” at the end of the name.
- Please ensure addresses are complete including city, state, and zip code.
- Applicant Owners
  - Pursuant to the Michigan Strategic Fund Background Review Policy, “Key Owner” is defined as, “if the Applicant is a business entity, any individual or business entity that, directly or indirectly, holds a pecuniary interest of 20% or more in the Applicant.”
    - However, the Applicant Certification Form must still list complete ownership percentages, both direct and indirect (beneficial). **Each column must separately total 100%, even if a separate Background Check Disclosure Form is unnecessary for each individual and/or entity and even if direct and indirect ownership percentages are the same.** If there is not enough room on the form, please write “see attached” and attach the complete direct AND indirect ownership percentages.
- Trusts
  - If an Applicant Owner is a trust, a separate Background Check Disclosure Form must be filled out on behalf of the trust as the entity, not the trustee as the individual.
    - **Do not include the social security number of the trustee on the Form.** The EIN section can be left blank for trusts.

### For Publicly Traded Company Applicants:

- Complete the “Applicant Certification Form for Publicly Traded Companies”
- **If your company does not meet any of the qualifications listed, your company must complete the Applicant Certification Form titled “General Applicant Certification Form” and complete separate Background Check Disclosure Forms for the Applicant Entity, each Key Individual, and each Key Owner that holds a 20% or greater direct or indirect ownership interest.**
- If both the Applicant and its parent (or ultimate parent) company meet multiple qualifications on the Form, the closest degree of relationship to the Applicant should be used for purposes of which entity must complete a separate Background Check Disclosure Form.

### For Municipality, Institutions of Higher Education, and Non-Profit Organization Applicants:

- Complete the “General Applicant Certification Form”
- Note by checking the box on the top right of the Form
- List all Key Individuals and Key Owners
  - If No Key Owners, indicate on the form

## **BACKGROUND CHECK DISCLOSURE FORM**

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### **General Applicants:**

- This form should be completed by:
  - The Applicant entity itself;
  - Each Applicant Key Individual; AND
    - If one individual is listed multiple times on the Applicant Certification Form, only one (1) Background Check Disclosure Form needs to be filled out by that individual.
  - Each Applicant Owner with a direct or indirect interest of 20% or greater.
    - Applicant owners with less than 20% ownership interest do not need to complete Background Check Disclosure Forms.
- **Please do not include your social security number on any background check forms.**
- Only one (1) of the two (2) grey boxes on the top of the form should be filled out on each form.
  - If the form is being completed on behalf of an entity, the first box should be completed; if for an individual, the second box should be completed.
- If an entity is a trust, EIN number and principal place of business do not need to be completed.
- Please ensure your middle name is included on the form; if none, please write (no middle name) after your name.
- Whoever is signing the form must also include his/her/their title on the bottom portion.
- Business Integrity Questions
  - All business integrity questions must be answered
    - However, the fourth (4<sup>th</sup>) business integrity question is only applicable to entities.
  - The tax haven countries listed are not an exhaustive list. If you are aware that the entity completing the background check disclosure form is incorporated in a tax haven country not listed, check “Yes” and list the country in a separate written explanation.
  - If “Yes” is checked to any of these questions, a written explanation is required.

### **For Publicly Traded Company Applicants:**

- The applicable entity associated with the qualification disclosed on the Applicant Certification Form for Publicly Traded Company must complete the Background Check Disclosure Form
- Business Integrity Questions
  - All business integrity questions must be answered
  - The tax haven countries listed are not an exhaustive list. If you are aware that the entity completing the background check disclosure form is incorporated in a tax haven country not listed, check “Yes” and list the country in a separate written explanation.
  - If “Yes” is checked to any of these questions, a written explanation is required.

**For Municipality, Institutions of Higher Education, and Non-Profit Organization Applicants:**

- The Background Review Policy allows for requests for exemptions for certain individual(s) and entity(s) associated with these types of applicants.
- You should consult with your business unit contact regarding which individual(s) and entity(s) are required to complete a Separate Background Check Disclosure Form
  - Note: The individual responsible for managing the incentive is ALWAYS required to complete a separate Background Check Disclosure Form