

Applicant Certification Form for Publicly Traded Companies

▶ Use when:

▶ Applicant:

- ▶ is publicly traded in U.S. and files 10K's OR
- ▶ files 20F's in the U.S.

▶ Applicant's 100% DIRECT parent:

- ▶ is publicly traded in U.S. and files 10K's OR
- ▶ files 20F's in the U.S.

▶ The Ultimate Parent is the 100% DIRECT parent of the Applicant's DIRECT parent (with no other ownership levels in between) and:

- ▶ is publicly traded in U.S. and files 10K's OR
- ▶ files 20F's in the U.S.

▶ NOT APPLICABLE WHEN:

▶ publicly traded entity:

- ▶ is more than two levels removed from the Applicant Entity.
- ▶ is publicly traded only in another country.

▶ There are splits in ownership at any level between the applicant and publicly traded company.

- ▶ i.e. one level of ownership is split between two private companies - one holding 20% ownership interest and the other holding 80% ownership interest.

IF THE LEFT COLUMN DOES NOT APPLY, GO TO INSTRUCTIONS FOR GENERAL APPLICANTS

Michigan Strategic Fund and Michigan Economic Development Corporation
Applicant Certification Form for Publicly Traded Companies

APPLICANT ENTITY LEGAL NAME (business entity to receive incentive)

APPLICANT ENTITY ADDRESS (include city, state,
and zip code)

APPLICANT EMPLOYER TAX ID NUMBER (EIN)

List the Applicant's Key Individuals Below. All individuals must be completed, even if duplicative.

CEO: _____
(or similarly situated position in charge of Applicant's daily executive operations)

CFO: _____
(or similarly situated position in charge of Applicant's financial affairs)

COO: _____
(or similarly situated position in charge of Applicant's daily affairs)

Person responsible for managing the incentive for the Applicant: _____

Check if the Applicant is a publicly traded domestic issuer and has filed 10K's for the previous 8 years

If box is checked, ONLY the Applicant entity must complete a separate Background Check Disclosure Form.

Check if the Applicant's direct parent is a publicly traded domestic issuer and has filed 10K's for the previous 8 years

If box is checked, ONLY the direct parent must complete a separate Background Check Disclosure Form.

Legal name of Applicant's direct parent: _____

Check if the Applicant is a foreign private issuer that has filed 20-F Forms for the previous 8 years

If box is checked, ONLY the Applicant entity must complete a separate Background Check Disclosure Form.

Check if the Applicant's direct parent is a foreign private issuer that has filed 20-F Forms for the previous 8 years

If box is checked, ONLY the Applicant's direct parent company must complete a separate Background Check Disclosure Form.

Legal name of Applicant's direct parent: _____

Check if the Applicant's ultimate parent directly owns 100% of the Applicant's direct parent company, is a publicly traded domestic issuer, and has filed 10K's for the previous 8 years

If box is checked, ONLY the Applicant's ultimate parent must complete a separate Background Check Disclosure Form.

Legal name of Applicant's ultimate parent: _____

Check if the Applicant's ultimate parent directly owns 100% of the Applicant's direct parent company, is a foreign private issuer, and has filed 20-F Forms for the previous 8 years

If box is checked, ONLY the Applicant's ultimate parent must complete a separate Background Check Disclosure Form.

Legal name of Applicant's ultimate parent: _____

This background check will not be processed until both 1) the Applicant's Bylaws (or Operating Agreement, as applicable), and 2) the Applicant's Organizational Chart are provided.

CERTIFICATION

I consent to the release of information contained herein to the MEDC, the Department of Attorney General, MSF, COO, or any of their designees, or as required by law. I have the authority to submit this form on behalf of the Applicant and authorize the MSF, MEDC, AG, COO, or any of their designees to perform background checks on the Applicant and its Key Owner(s).

Signature _____

Title _____

Date _____

Updated April 25, 2019

- **If the Applicant does not meet any of the qualifications listed, the Applicant 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 are publicly traded, the closest degree of relationship to the Applicant should be used to complete the Background Check Disclosure Form.

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(or similarly situated position in charge of Applicant's daily executive operations)

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(or similarly situated position in charge of Applicant's financial affairs)

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(or similarly situated position in charge of Applicant's daily affairs)

Person responsible for managing the incentive for the Applicant:

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If box is checked, ONLY the Applicant entity must complete a separate Background Check Disclosure Form.

Check if the Applicant's direct parent is a publicly traded domestic issuer and has filed 10K's for the previous 8 years

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Legal name of Applicant's direct parent: _____

Check if the Applicant is a foreign private issuer that has filed 20-F Forms for the previous 8 years

If box is checked, ONLY the Applicant entity must complete a separate Background Check Disclosure Form.

Check if the Applicant's direct parent is a foreign private issuer that has filed 20-F Forms for the previous 8 years

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Legal name of Applicant's direct parent: _____

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Signature _____

Title _____

Date _____

Updated April 25, 2019

CEO, CFO COO, Personal Responsible for Managing Incentive must still be disclosed, but do not need to complete a separate Background Check Disclosure Form IF this form applies

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Legal name of Applicant's direct parent: _____

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(or similarly situated position in charge of Applicant's daily executive operations)

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Legal name of Applicant's ultimate parent: _____

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Signature _____

Title _____

Date _____

Updated April 25, 2019

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If box is checked, ONLY the Applicant's ultimate parent must complete a separate Background Check Disclosure Form.
Legal name of Applicant's ultimate parent: _____

This background check will not be processed until both 1) the Applicant's Bylaws (or Operating Agreement, as applicable), and 2) the Applicant's Organizational Chart are provided.

Bylaws (or Operating Agreement) AND Org. Chart is required to be in business unit file before background check will be processed

Org. Chart should show the ownership structure of Applicant, NOT the entities the applicant is planning to use for base/QNJ's

Check if the Applicant's ultimate parent directly owns 100% of the Applicant's direct parent company, is a publicly traded domestic issuer, and has filed 10K's for the previous 8 years

If box is checked, ONLY the Applicant's ultimate parent must complete a separate Background Check Disclosure Form.

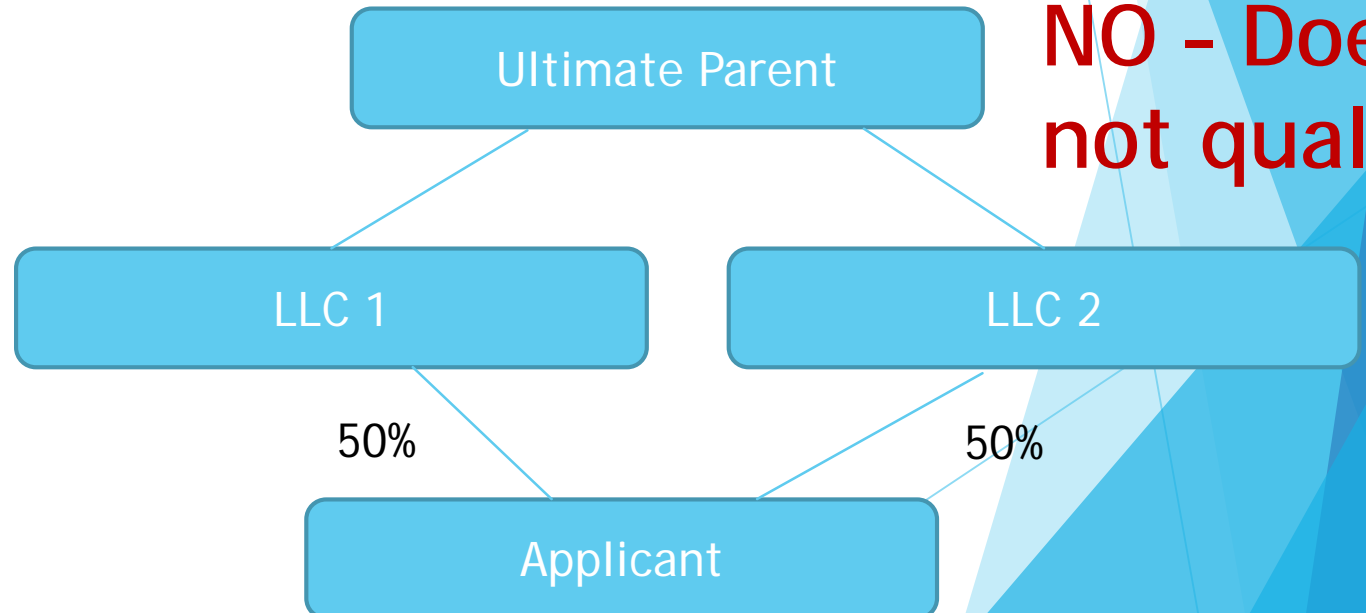
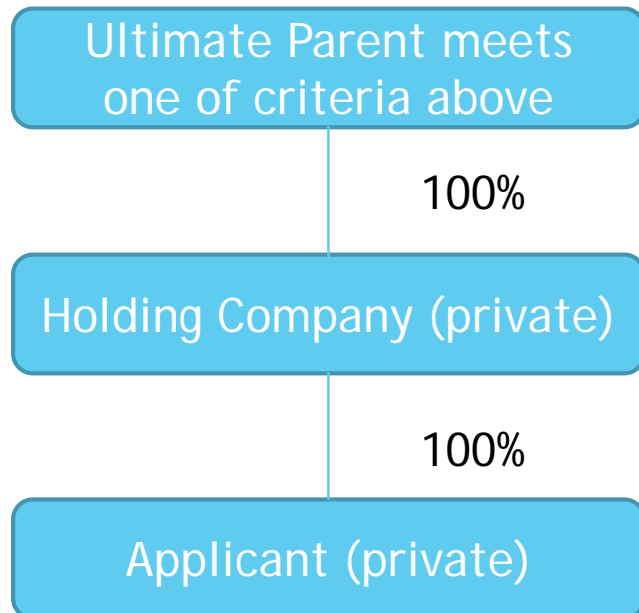
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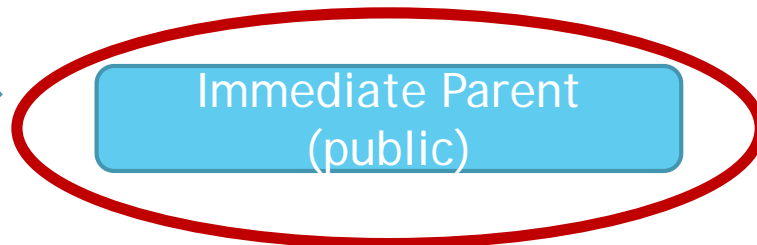
Legal name of Applicant's ultimate parent: _____

YES!



NO - Does not qualify

This level completes a Background Check Disclosure Form



Ultimate Parent (public)

100%



Immediate Parent (public)

100%



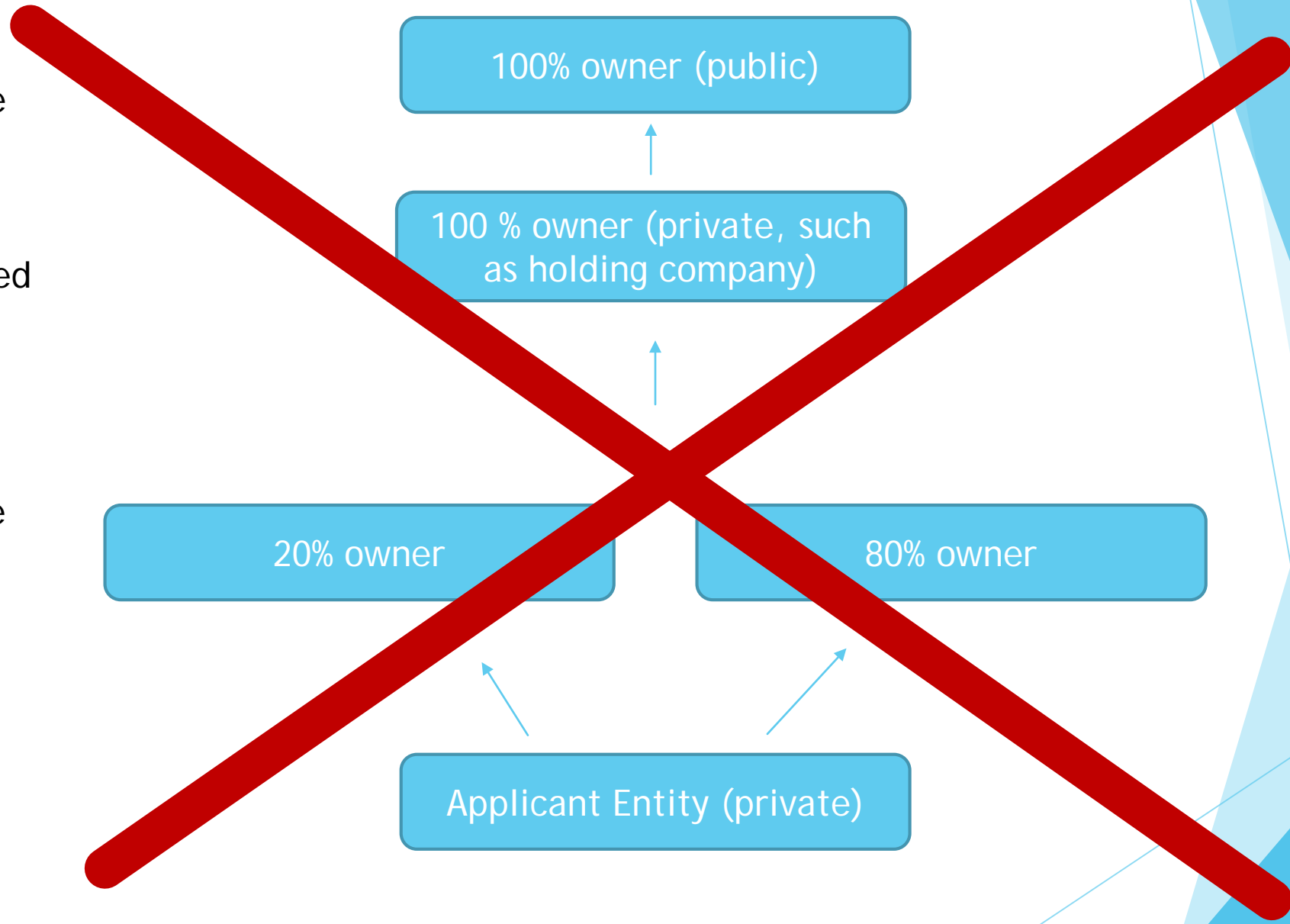
Applicant Entity

DO NOT:

- Complete the Applicant Certification Form for publicly traded companies.

DO:

- Complete the General Applicant Certification Form.



FAQ'S

Q: How long does it take to process a background check?

- A: 4-6 weeks from fully completed forms being submitted into the background check queue by the business unit. We process background checks on a first in, first out basis to help ensure all background checks are completed within 4-6 weeks.

Q: We're still waiting on one form. Can you start the background check with the forms you currently have?

- A: Unfortunately, no. At any given time, we have between 20-40 background check cases in the queue. To ensure timely results, we do not process background checks until all necessary forms are submitted.

Q: Why do you need my residence address, date of birth, and full middle name?

- A: That information helps filter results in the database we use. Even uncommon names can sometimes have hundreds of results. By filtering with this information, we can perform individual background checks faster.

FAQ's (continued)

Q: I'm a Sole Proprietor. How do I complete the forms?

- A:
 - Sole Proprietor's who have established an LLC should complete both the Applicant Certification Form and the Background Check Disclosure Form.
 - If you are an individual with no LLC, you only need to complete the Background Check Disclosure Form.

Q: My contact at the MEDC mentioned potential exemptions from a background check. What does that mean?

- A: If the Applicant is a municipality, nonprofit, or institution of higher education, the MSF Background Review Policy may allow for a different process to satisfy the requirements of the Policy. There are procedural steps that need to occur internally at the MEDC in these cases. Your contact will explain what additional forms need to be completed; however a Background Check Disclosure Form for the person responsible for managing the incentive will ALWAYS need to be completed.

FAQ's (continued)

Q: I don't have a CFO or COO. How do I complete the Applicant Certification Form?

- A: Someone at your company is performing the functions of those positions, even if he/she doesn't have that title. It's acceptable to have the same person listed for multiple positions. Your application WILL be rejected if that spot is left blank or says "None."

Q: Our Applicant doesn't have any indirect owners. How do I complete the Applicant Certification Form?

- A: If your company only has "direct" owners, then by default all "direct" owners would hold the same percentages of "indirect" ownership. The ownership percentages in both the direct and indirect columns would match. EACH column MUST total 100%. Make sure the indirect column isn't left blank and doesn't say 0%.