




U.S. Small Business  
Administration

# U.S. Small Business Administration

ETRAN and 1919 Updates  
Phase 1

March 8, 2024

# SBA 7(a) Borrower Information

 **SBA 7(a) Borrower Information Form**  
For use with all SBA 7(a) Loan Programs

OMB Control No.: 3245-0348  
Expiration Date: 11/30/2026

Applicant Business Legal Name (OC/EPC):			
Operating Business Legal Name (OC):			
DBA or Tradename (if applicable)			
Business TIN (EIN, SSN)			
Primary Industry / NAICS Code (6 digit):		Business Phone:	
Unique Entity ID used in SAM.gov, if any		Year began operations:	

Eligibility

**Application Info**

Use of Proceeds

**1**

\* Application Structured with Eligible Passive Company? ☐ Yes ☒ No

\* Is the Loan Collateralized? ☒ Yes ☐ No

Form Fields	
1	Applicant Business Legal Name (OC/EPC) Borrowers > Name
2	DBA or Tradename (if applicable) Borrowers > (Doing business as) Trade Name
3	Business TIN (EIN, SSN) Borrowers > Tax ID
4	Primary Industry / NAICS Code Project Info > NAICS Code
5	Unique Entity ID used in SAM.gov, if any
6	Business Phone Borrowers > Primary Phone
7	Year began operations Project Info > Date Business Established

Expand Collapse

Lender Info

Agent Info

Eligibility

Application Info

Use of Proceeds

Lender Comments

Project Info

Repayment

Borrowers

1.

Guarantors

Collateral Register

Business Financials

**Borrower Information, Application**

Tax ID:

\* Name

(Doing business as) Trade Name

\* Primary Business? ☒ Yes ☐ No

\* Legal Organization Type

\* DUNS

Controlling Interest? Yes

\* Controlling Interest Management:

Revenue Amount

Number of Employees

Contact Name

\* Primary Phone

**4**

**Nature of Business**

\* NAICS Code: (lookup)

Small Business Manufacturer? N

\* Business Age: Existing or more than 2 years old

Franchise? ☐ Yes ☐ No

Size Standard: Not selected yet

\* No. of Current Employees:

\* Number of Jobs Created:

\* Number of Jobs Retained:

\* Date Business Established:

**7**

# SBA 7(a) Borrower Questions

If any questions are answered "Yes" please provide details to the Lender in a separate attachment

Question	Yes	No
1. Is the Applicant or if the Applicant is structured as an Eligible Passive Company (EPC) and Operating Company (OC), both the EPC and OC, or any Associate of the Applicant presently suspended, debarred, proposed for debarment, declared ineligible, voluntarily excluded from participation in a transaction by any Federal department or agency, or presently involved in any bankruptcy?	<input type="checkbox"/>	<input type="checkbox"/>
2. Is the Applicant, any Associate of the Applicant, or any business owned by them or any Affiliates (per 13 CFR 121.301(f)), currently delinquent or have ever defaulted on a direct or guaranteed loan from SBA, or another Federal agency loan program (including, but not limited to USDA, B&I, FSA, FHA, EDA), or been a guarantor on such a loan?	<input type="checkbox"/>	<input type="checkbox"/>
3. Is the Applicant or any owner of the Applicant an owner of any other business? If yes, list all such businesses (including their TINs), percentage of ownership, and describe the relationship on a separate sheet identified as addendum A.	<input type="checkbox"/>	<input type="checkbox"/>
4. Is the Applicant or any Associate of the Applicant presently incarcerated, on probation, on parole, or presently subject to an indictment for a felony or any crime involving or relating to financial misconduct or a false statement? (If "Yes" the Applicant is not eligible for SBA financial assistance.)	<input type="checkbox"/>	<input type="checkbox"/>
Initial here to confirm your response to question 4 (originally initialed, or an acceptable electronic signature, and not typed.)		

## 1919 Form questions

1

\* Is the Applicant or if the Applicant is structured as an Eligible Passive Company (EPC) and Operating Company (OC), both the EPC and OC, or any Associate of the Applicant presently suspended, debarred, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency? ☐ Yes ☒ No

\* Are any of the Applicant's revenues derived from gambling, loan packaging, lending activities, lobbying activities, or from the sale of products or services, or the presentation of any depiction, displays or live performances, of a prurient sexual nature? If "Yes," provide details under a separate attachment. ☐ Yes ☒ No

\* Is any sole proprietor, partner, officer, director, stockholder with a 10 percent or more interest in the Applicant an SBA employee or a Household Member of an SBA employee? (13 CFR 105.204). "Household Member" means spouse and minor children of an employee, all blood relations of the employee and any spouse who resides in the same place of abode with the employee. (13 CFR §105.201 (d)) ☐ Yes ☒ No

\* Is any employee, owner, partner, attorney, agent, owner of stock, officer, director, creditor or debtor of the Applicant a former SBA employee who has been separated from SBA for less than one year prior to the request for financial assistance? (13 CFR 105.203) ☐ Yes ☒ No

\* Is any sole proprietor, general partner, officer, director, or stockholder with a 10 percent or more interest in the Applicant, or a household member of such individual, a member of Congress, or an appointed official or employee of the legislative or judicial branch of the Federal Government? (13 CFR 105.301 (c)) ☐ Yes ☒ No

\* Is any sole proprietor, general partner, officer, director, or stockholder with a 10 percent or more interest in the Applicant, or a household member of such individual, a Federal Government employee or Member of the Military having a grade of at least GS-13 or higher (or Military equivalent)? (13 CFR 105.301 (a)) ☐ Yes ☒ No

\* Is any sole proprietor, general partner, officer, director, or stockholder with a 10 percent or more interest in the Applicant, or a household member of such individual, a member or employee of a Small Business Advisory Council or a SCORE volunteer? (13 CFR 105.302 (a)) ☐ Yes ☒ No

2

\* Is the Applicant, any Associate of the Applicant, or any business owned by them or any Affiliates (per 13 CFR 121.301(f)), currently delinquent or have ever defaulted on a direct or guaranteed loan from SBA, or another Federal agency loan program (including, but not limited to USDA, B&I, FSA, FHA, EDA), or been a guarantor on such a loan? ☐ Yes ☒ No

3

\* Is the Applicant or any owner of the Applicant an owner of any other business? If yes, list all such businesses (including their TINs), percentage of ownership, and describe the relationship on a separate sheet identified as addendum A. ☐ Yes ☒ No

4

\* Is the Applicant or any individual owning 20% or more of the equity of the Applicant presently incarcerated, on probation, on parole, or presently subject to an indictment for a felony or any crime involving or relating to financial misconduct or a false statement? (If "Yes" the Applicant is not eligible for SBA financial assistance.) ☐ Yes ☒ No

\* Has the Applicant paid or committed to pay a fee to the Lender or a third party to assist in the preparation of the loan application or application materials, or has the Applicant paid or committed to pay a referral agent or broker a fee? If "Yes" provide details to your Lender (the name of the third party and the amount of the fee). The Applicant is not required to obtain or pay for unwanted services. ☐ Yes ☒ No

## Borrower Interface aligning to questions

- 1 Suspended, debarred, excluded, etc.  
ETRAN Application > Borrowers > Name
- 2 Delinquent federal debt  
ETRAN Application > Borrowers > Name
- 3 Owner of any other business  
ETRAN Application > Borrowers > Name
- 4 Incarcerated, on probation, on parole, etc.  
ETRAN Application > Borrowers > Name

# SBA 7(a) Principal Questions

*If any questions are answered "Yes" please provide details to the Lender in a separate attachment*

Question	Yes	No
1. Is the Applicant or if the Applicant is structured as an Eligible Passive Company (EPC) and Operating Company (OC), both the EPC and OC, or any Associate of the Applicant presently suspended, debarred, proposed for debarment, declared ineligible, voluntarily excluded from participation in a transaction by any Federal department or agency, or presently involved in any bankruptcy?	<input type="checkbox"/>	<input type="checkbox"/>
2. Is the Applicant, any Associate of the Applicant, or any business owned by them or any Affiliates (per 13 CFR 121.301(f)), currently delinquent or have ever defaulted on a direct or guaranteed loan from SBA, or another Federal agency loan program (including, but not limited to USDA, B&I, FSA, FFA, EDA), or been a guarantor on such a loan?	<input type="checkbox"/>	<input type="checkbox"/>
3. Is the Applicant or any owner of the Applicant an owner of any other business? If yes, list all such businesses (including their TINs), percentage of ownership, and describe the relationship on a separate sheet identified as addendum A.	<input type="checkbox"/>	<input type="checkbox"/>
4. Is the Applicant or any Associate of the Applicant presently incarcerated, on probation, on parole, or presently subject to an indictment for a felony or any crime involving or relating to financial misconduct or a false statement? (If "Yes" the Applicant is not eligible for SBA financial assistance.)	<input type="checkbox"/>	<input type="checkbox"/>
Initial here to confirm your response to question 4 (originally initialed, or an acceptable electronic signature, and not typed.)		

## 1919 Form questions

### Principal Interface aligning to questions

- |   |  |
|---|--|
| 1 | Suspended, debarred, excluded, etc.<br>ETRAN Application > Principals > Name         |
| 2 | Delinquent federal debt<br>ETRAN Application > Principals > Name                     |
| 3 | Owner of any other business<br>ETRAN Application > Principals > Name                 |
| 4 | Incarcerated, on probation, on parole, etc.<br>ETRAN Application > Principals > Name |

1

Are you presently suspended, debarred, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency? ☐ Yes ☒ No

If you are a 50% or more owner of the Small Business Applicant, are you more than 60 days delinquent on any obligation to pay child support arising under an administrative order, court order, repayment agreement between the holder and a custodial parent, or repayment agreement between the holder and a state agency providing child support enforcement services? ☐ Yes ☒ No

2

Is the Applicant, any Associate of the Applicant, or any business owned by them or any Affiliates (per 13 CFR 121.301(f)), currently delinquent or have ever defaulted on a direct or guaranteed loan from SBA, or another Federal agency loan program (including, but not limited to USDA, B&I, FSA, FFA, EDA), or been a guarantor on such a loan? ☐ Yes ☐ No

3

Is the Applicant or any owner of the Applicant an owner of any other business? If yes, list all such businesses (including their TINs), percentage of ownership, and describe the relationship on a separate sheet identified as addendum A. ☐ Yes ☒ No

4

Is the Applicant or any individual owning 20% or more of the equity of the Applicant presently incarcerated, on probation, on parole, or presently subject to an indictment for a felony or any crime involving or relating to financial misconduct or a false statement? (If "Yes" the Applicant is not eligible for SBA financial assistance.) ☐ Yes ☒ No

# SBA 7(a) Borrower Questions

5. Are any of the Applicant's products and/or services exported (directly or indirectly), or is there a plan to begin exporting (directly or indirectly) as a result of this loan, or is this an Export Working Capital Program (EWCP)* loan? If "Yes," answer questions 5.a) and b) below, if "No" move to question 6		<input type="checkbox"/>	<input type="checkbox"/>
5.a) Provide the estimated total export sales this loan will support	1919 Form questions		\$ <input type="text"/>
* (For EWCP loans, in a separate attachment, provide details of the underlying transaction(s) for which the loan is needed, countries where the buyers are located and a description of products and/or services to be exported.)			
5.b) List of principal countries of Export (list at least 1):	<input type="text"/>	<input type="text"/>	<input type="text"/>

	Borrower Questions
5	Exporter? ETRAN Application > Borrowers > Name
5.a	Export Sales Amount ETRAN Application > Borrowers > Name
5.b	Export Countries ETRAN Application > Borrowers > Name

5

\* Are any of the Applicant's products and/or services exported (directly or indirectly), or is there a plan to begin exporting (directly or indirectly) as a result of this loan, or is this an Export Working Capital Program (EWCP)\* loan?

☒ Yes ☐ No

If "Yes," answer questions  
a) Total Export and b) Countries below

\* a) Provide the estimated total export sales this loan will support

\* b) List of principal countries of Export (list at least 1)



# SBA 7(a) Borrower Questions

## 1919 Form questions

### Borrower Questions

6	Agent or broker fee ETRAN Application > Borrowers > Name
7	Ineligible revenue streams ETRAN Application > Borrowers > Name
8	SBA conflict of interest ETRAN Application > Borrowers > Name
9	Former SBA employee ETRAN Application > Borrowers > Name
10	Legislative/Judicial Branch employee ETRAN Application > Borrowers > Name
11	GS-13 or Higher ETRAN Application > Borrowers > Name

6. Has the Applicant paid or committed to pay a fee to the Lender or a third party to assist in the preparation of the loan application or application materials, or has the Applicant paid or committed to pay a referral agent or broker a fee? If "Yes" provide details to your Lender (the name of the third party and the amount of the fee). The Applicant is not required to obtain or pay for unwanted services. ☐ Yes ☒ No

7. Are any of the Applicant's revenues derived from gambling, loan packaging, lending activities, lobbying activities, or from the sale of products or services, or the presentation of any depiction, displays or live performances, of a prurient sexual nature? If "Yes," provide details under a separate attachment. ☐ Yes ☒ No

8. Is any sole proprietor, partner, officer, director, stockholder with a 10 percent or more interest in the Applicant an SBA employee or a Household Member of an SBA employee? (13 CFR 105.204). "Household Member" means spouse and minor children of an employee, all blood relations of the employee and any spouse who resides in the same place of abode with the employee. (13 CFR §105.201(d)) ☐ Yes ☒ No


9. Is any employee, owner, partner, attorney, agent, owner of stock, officer, director, creditor or debtor of the Applicant a former SBA employee who has been separated from SBA for less than one year prior to the request for financial assistance? (13 CFR 105.203) ☐ Yes ☒ No

10. Is any sole proprietor, general partner, officer, director, or stockholder with a 10 percent or more interest in the Applicant, or a household member of such individual, a member of Congress, or an appointed official or employee of the legislative or judicial branch of the Federal Government? (13 CFR 105.301(c)) ☐ Yes ☒ No

11. Is any sole proprietor, general partner, officer, director, or stockholder with a 10 percent or more interest in the Applicant, or a household member of such individual, a Federal Government employee or Member of the Military having a grade of at least GS-13 or higher (or Military equivalent)? (13 CFR 105.301(a)) ☐ Yes ☒ No

6. Has the Applicant paid or committed to pay a fee to the Lender or a third party to assist in the preparation of the loan application or application materials, or has the Applicant paid or committed to pay a referral agent or broker a fee? If "Yes" provide details to your Lender (the name of the third party and the amount of the fee). The Applicant is not required to obtain or pay for unwanted services. ☐ Yes ☒ No

# SBA 7(a) Borrower Questions



**SBA 7(a) Borrower Information Form**  

1919 Form questions

OMB Control No.: 3245-0348  
Expiration Date: 11/30/2026

	Yes	No
12. Is any sole proprietor, general partner, officer, director, or stockholder with a 10 percent or more interest in the Applicant, or a household member of such individual, a member or employee of a Small Business Advisory Council or a SCORE volunteer? <a href="#">(13 CFR 105.302(a))</a>	<input type="checkbox"/>	<input type="checkbox"/>
13. Is the Applicant, any owner of the Applicant, or any business owned by them (Affiliates), presently involved in any legal action (including divorce)? <i>If yes, provide details.</i>	<input type="checkbox"/>	<input type="checkbox"/>

Borrower Questions	
12	SBAC or SCORE ETRAN Application > Borrowers > Name
13	Legal issues ETRAN Application > Borrowers > Name

12

\* Is any sole proprietor, general partner, officer, director, or stockholder with a 10 percent or more interest in the Applicant, or a household member of such individual, a Federal Government employee or Member of the Military having a grade of at least GS-13 or higher (or Military equivalent)? (13 CFR 105.301 (a)) ☐ Yes ☒ No

\* Is any sole proprietor, general partner, officer, director, or stockholder with a 10 percent or more interest in the Applicant, or a household member of such individual, a member or employee of a Small Business Advisory Council or a SCORE volunteer? (13 CFR 105.302 (a)) ☐ Yes ☒ No

\* Is the Applicant, any Associate of the Applicant, or any business owned by them or any Affiliates (per 13 CFR 121.301(f)), currently delinquent or have ever defaulted on a direct or guaranteed loan from SBA, or another Federal agency loan program (including, but not limited to USDA, B&I, FSA, FHA, EDA), or been a guarantor on such a loan? ☐ Yes ☒ No

13

\* Involved In Bankruptcy/Insolvency? ☐ Yes ☒ No

\* Is the Applicant, any owner of the Applicant, or any business owned by them (Affiliates), presently involved in any legal action (including divorce)? If yes, provide details. ☐ Yes ☒ No

\* Prior SBA Loan? ☐ Yes ☒ No

# SBA 7(a) Borrower Information

## Applicant Certification

Applicant Certifications will be surfaced within the ETRAN Application > Eligibility menu

The screenshot shows the ETRAN application interface. On the left, a sidebar menu is visible with options: Lender Info, Eligibility (highlighted with a red box), Application Info, Use of Proceeds, Change of Ownership, Lender Comments, Project Info, and Repayment. A red arrow points from the 'Eligibility' menu item to the main content area. The main content area is titled 'Eligibility, Application' and contains two certification questions, each with a 'Yes' radio button selected and a 'No' radio button. The first question is: 'Non-delegated Lender OR Lender hereby certifies that the loan information pertaining to the above loan is true and correct, to the best of its knowledge, and that it has exercised due diligence to obtain true and correct information. Lender is aware and acknowledges that SBA will not review eligibility prior to issuing a loan number and that if an SBA loan number is assigned and SBA later learns that the loan is not eligible, SBA may deny liability on its guaranty. Lender approves the loan application to SBA subject to the terms and conditions stated in the application and associated documents. Without the participation of SBA to the extent applied for Lender would not be willing to make this loan, and in its opinion the financial assistance approved is not otherwise available on reasonable terms. Lender certifies that none of the Lender's Associates, including but not limited to its employees, officers, directors, or substantial stockholders (more than 10%), has a financial interest in the Applicant. Lender approves and certifies that the Applicant is a small business according to the standards in 13 CFR Part 121, the loan proceeds will be used for an eligible purpose, and the owners and managers of the applicant business are of good character.' The second question is: 'Form 1919 Applicant Certification has been signed by the Borrower [More](#)'.

### APPLICANT CERTIFICATION

By signing this application, the Applicant certifies that it complies with all Loan Program Requirements as defined in 13 CFR § 120.10, including but not limited to requirements in 13 CFR §§ 120.100, 120.110, 121.301, and 31 CFR § 285.13. The Applicant further certifies that the Applicant business is at least 51 percent owned and controlled by persons who are citizens of the U.S. or are Lawful Permanent Residents and that all SBA loan proceeds will be used in accordance with Loan Program Requirements. SBA or the Lender may request additional information to determine that an Applicant fulfills any eligibility requirement. **By signing the application, the Applicant has certified that it fulfills all eligibility requirements.**

The authorized representative of the Applicant and the Operating Company certifies to the following:

- I have read the statements included in this form, including the Statements Required by Law and Executive Order, and I understand them.
- I certify that the information provided in this application and the information provided in all supporting documents and forms is true and accurate in all material respects. The Applicant understands that knowingly making a false statement to obtain a guaranteed loan from SBA is punishable under the law, including under 18 U.S.C. 1001 and 3571 by imprisonment of not more than five years and/or a fine of up to \$250,000; under 18 U.S.C. 645 by imprisonment of not more than two years and/or a fine of not more than \$5,000; and, if submitted to a federally insured institution, under 18 U.S.C. 1014 by imprisonment of not more than thirty years and/or a fine of not more than \$1,000,000.
- I will comply, whenever applicable, with the hazard insurance, lead-based paint, civil rights or other limitations set forth in SBA Loan Program Requirements.
- No holder of 50 percent or more of the ownership of the Applicant or OC is delinquent more than 60 days under the terms of any administrative order; court order; or repayment agreement requiring payment of child support.
- Applicant and OC are current on all Federal, state, and local taxes, including but not limited to income taxes, payroll taxes, real estate taxes and sales taxes of the business, and will pay all Federal, state, and local taxes when they come due.
- All 7(a) loan proceeds will be used only for the Applicant business as approved by the Lender and/or SBA.
- I understand, acknowledge, agree, and consent that the Lender can share any tax information that I have provided and/or that the Lender has obtained from the Internal Revenue Service with SBA's authorized representatives, including authorized representatives of the SBA Office of Inspector General, for the purpose of compliance with SBA Loan Program Requirements and all SBA reviews.
- I acknowledge that the Lender will confirm the eligible loan amount using required documents submitted.
- The Applicant, together with all affiliates, is small under the applicable small business size standard (13 CFR 121.201 and Section 3(a)(5) of the Small Business Act [15 U.S.C. 631 et seq.]. SBA or the Lender may request additional information concerning the Applicant's size based on information supplied in the application or any other source.
- The Build America, Buy America Act (BABAA) requires that no federal financial assistance for "infrastructure" projects is provided "unless all of the iron, steel, manufactured products, and construction materials used in the project are produced in the United States." Section 70914 of Public Law No. 117-58, §§ 70901-52. The undersigned certifies that if any SBA loan proceeds are used directly or indirectly for an infrastructure project, the iron, steel, manufactured products, and construction materials used in the construction of the infrastructure project are in full compliance with the BABAA requirements including: 1. All iron and steel used in the project are produced in the United States; 2. All manufactured products purchased with SBA financial assistance must be produced in the United States; and 3. All construction materials used in the construction are manufactured in the United States. And the Borrower will obtain from the Contractors, or Subcontractors, certifications, or affirmations as to their compliance with BABAA requirements in the project. SBA encourages the purchase, to the extent feasible, of American-made equipment and supplies.
- The Applicant is not engaged and will not engage in any activity that is illegal under federal, state, or local law or that can reasonably be determined to support or facilitate any activity that is illegal under federal, state, or local law.
- During the life of the loan, the real estate pledged as collateral for the loan or where the Borrower or OC conducts its business operations will not be leased to or occupied by any business that Borrower or OC knows is engaged in any activity that is illegal under Federal, state or local law or any activity that can reasonably be determined to support, promote, or facilitate any activity that is illegal under Federal, state or local law.
- If applicable, the Applicant(s), the ESOP (or equivalent trust), and/or the 401(k) plan are in compliance with all applicable IRS, Treasury, and Department of Labor requirements and will comply with all relevant operating and reporting requirements.
- If the 7(a) loan request is for a Standard 7(a) loan (loan greater than \$500,000), and if the loan will finance a change of ownership between existing owners (complete partner buyout), and if the 7(a) loan proceeds will finance more than 90% of the purchase price of the partner buyout, the remaining owner(s) must certify that they have been actively participating in the business operation and held the same or an increasing ownership interest in the business for at least the past 24 months. For any real estate to be purchased by loan proceeds and pledged as collateral for the loan or where the Applicant or OC is conducting business operations, the Applicant or OC are currently and will remain in compliance with all local, state, and Federal environmental laws and regulations and will continue to comply with these laws and regulations. Furthermore, they are unaware of any other actual or potential environmental hazards related to the collateral or business premises. They agree to fully indemnify Lender and SBA against all liabilities or losses arising from the contamination of the property before or during the term of the loan.
- The Applicant and/or OC will reimburse Lender for out-of-pocket expenses incurred in the making and administration of the loan.
- The Applicant and/or OC will maintain proper books and records, allow Lender and SBA access to these records, and furnish financial statements or reports annually or whenever requested by Lender.
- The Applicant and/or OC will post SBA Form 722, Equal Opportunity Poster, where it is clearly visible to employees, applicants for employment and the general public.
- For debt refinancing, the debt being refinanced with the loan proceeds was used exclusively for the Applicant's business, including any credit card, HELOC, and/or debt on the Applicant's balance sheet; and
- The Applicant and OC will not, without Lender's prior written consent:
  - Make any distribution of company assets that will adversely affect the financial condition of the Borrower and/or OC.
  - Change the ownership structure or interests in the business during the term of the loan; and
  - Sell, lease, pledge, encumber (except by purchase money liens on property acquired after the date of the Note), or otherwise dispose of any of the Borrower's property or assets, except in the ordinary course of business.



# Questions



Contact

[CAFSQuestions@sba.gov](mailto:CAFSQuestions@sba.gov)