

Annual Lender/Investor Sex Offender Certification

This certification is required by Section 3011(c)(2) of the Small Business Jobs Act of 2010 from any private entity that receives a loan, a loan guarantee, or other financial assistance using funds received by a participating State under the State Small Business Credit Initiative ("SSBCI").

Legal name of entity:

In accordance with Section 3011(c)(2), Sections VI.b.iii. and VII.d. of the SSBCI Policy Guidelines, Section 4.9(c) of the Allocation Agreement between the U.S. Treasury Department and the Washington Department of Commerce ("Commerce"), dated October 31, 2011, and the Agreement between Commerce and the lender or investor dated _____, the above-named lender or investor hereby certifies to Commerce that the Principals of the lender or investor have not been convicted of a sex offense against a minor (as such terms are defined in section 111 of the Sex Offender Registration and Notification Act (42 U.S.C. 16911)).

For the purposes of this Certification, Principal means the following: if a sole proprietorship, the proprietor; if a partnership, each managing partner and each partner who is a natural person and holds a 20% or more ownership interest in the partnership; and if a corporation, limited liability company, association or a development company, each director, each of the five most highly compensated executives or officers of the entity, and each natural person who is a direct or indirect holder of 20% or more of the ownership stock or stock equivalent of the entity.

This certification, once signed and delivered to Commerce, shall be valid for the remaining term of the calendar year in which it was signed. Notwithstanding the foregoing, this certification shall become invalid upon the addition of a new Principal, the conviction of an existing Principal of a sex offense against a minor, or any other event that renders the certification materially inaccurate. The lender or Investor shall immediately notify Commerce in writing if it is aware of any changes to the lender's or investor's certification status and shall provide to Commerce a replacement certification prior to funding any new loan or investment using or supported by SSBCI funds.

For Lender/Investor

By: _____

Authorized Signatory

Name: _____

Title: _____

Date: _____