



# Completing the Form 912 Package

*Presentation for SBA Lenders*



*U.S. Small Business Administration*



# SBA Form 1919

When is it necessary to complete the Form 912 package?

- When is it necessary for a lender to submit the 912 package to the SBA?
- When is it appropriate for a lender to retain the 912 package, without submitting to the SBA?

Form 1919—The Borrower Information Form



# When Form 912 Package is not Required

## Ineligible

- If individual answers “Yes” to question 1 on Form 1919, or if response to question 3 reveals he or she is currently on parole or probation, the applicant is ineligible and thus the package is not required

If an individual answers “No” to questions 1, 2, or 3 on Form 1919, the package is not required



# When Form 912 Package is Required

If an individual answers “Yes” to questions 2 or 3 of Form 1919

If disclosed crimes were misdemeanors dispositioned by the court *less* than six months ago, crimes against a minor (e.g. child abuse, or endangerment, possession of child pornography, etc.), or felony convictions

*Exception:* If disclosed crimes were misdemeanors dispositioned by the court *more* than six months ago, with *no* crimes against a minor, lender should retain the 912 package in loan file without submitting to SBA



# Complete Form 912 Package

1. Lender Cover Letter
2. Completed SBA Form 912
3. Statement of Offense(s)
4. Additional Court Documents
5. Fingerprint Card

*Note:* SBA will return any incomplete packages



# Lender Cover Letter

Point of Contact

Lender name

Lender address

Lender phone number  
and email address


Happy Lender  
Great Bank  
123 Any Street  
City, State Zip code

Please accept this 912 package  
for review on John Doe who was  
convicted of a misdemeanor back in  
2005. A tornado destroyed court  
documents and I am unable to determine  
if the court requirements have been met.

Thank you,  
Happy Lender  
202-401-8282  
[happy lender@greatbank.com](mailto:happy lender@greatbank.com)



# SBA Form 912—Sections 1a-6

|   |  |
|---|--|
| OMB APPROVAL NO.3245-0178<br>Expiration Date: 05/31/2019  |  |
|  <p>United States of America<br/><b>SMALL BUSINESS ADMINISTRATION</b><br/><b>STATEMENT OF PERSONAL HISTORY</b></p>  | <p><b>Please Read Carefully and Fully Complete:</b> SBA uses Form 912 as one part of its assessment of program eligibility. Please reference SBA Regulations and Standard Operating Procedures if you have any questions about who must submit this form and where to submit it. For further information, please call SBA's Answer Desk at 1-800-U-ASK-SBA (1-800-827-5722), or check SBA's website at <a href="http://www.sba.gov">www.sba.gov</a>. <b>DO NOT SEND COMPLETED FORMS TO OMB as this will delay the processing of your application; send forms to the address provided by your lender or SBA representative.</b></p> |
| <p>1a. Name and Address of Applicant (Firm Name)(Street, City, State, ZIP Code and E-mail)</p> <p>Systems Entertainment<br/>409 3rd Street<br/>Washington, DC 20416</p>   | <p>SBA District/Disaster Area Office<br/><b>Washington District Office</b></p> <p>Amount Applied For (when applicable) \$450,000.00      File No. (if known)</p>   |
| <p>1b. Personal Statement of: (State name in full, if no middle name, state (NMN), or if initial only, indicate initial.) List all former names used, and dates each name was used. Use separate sheet if necessary.</p> <p>First                      Middle                      Last<br/>John                      E.                      Doe</p> | <p>2. Give the percentage of ownership in the small business<br/>70%      Social Security No. 000-99-0000</p> <p>3. Date of Birth (Month, day, and year)<br/>06/15/1985</p> <p>4. Place of Birth: (City &amp; State or Foreign Country)<br/>Any Town, Iowa</p>   |
| <p>If applicable, Name and Address of participating lender or surety co.</p> <p>All Town National Bank<br/>99 Linden Street, Seattle, Washington 22222</p>  | <p>5. U.S. Citizen? <input checked="" type="checkbox"/> YES    <input type="checkbox"/> NO      INITIALS: <b>[Handwritten Signature]</b></p> <p>If no, are you a Lawful Permanent resident alien? <input type="checkbox"/> YES    <input type="checkbox"/> NO      Alien Registration number</p> <p>If no, country of citizenship:</p>   |
| <p>6. Present residence address:</p> <p>From: 4/1/2013<br/>To: Present<br/>Address: 157 Clarendon, Street<br/>Seattle, WA 02116</p> <p>Home Telephone No. (Include Area Code): 617-999-8840<br/>Business Telephone No. (Include Area Code): 617-342-9001</p>  | <p>Most recent prior address (omit if over 10 years ago):</p> <p>From: 6/1/20/08<br/>To: 12/15/12<br/>Address: 14 Kay Street<br/>Newport, RI 22588</p>   |

Please remember to complete this section

Please remember to handwrite initials (do not type)



# SBA Form 912—Sections 7-9-Signature

PLEASE SEE REVERSE SIDE FOR EXPLANATION REGARDING DISCLOSURE OF INFORMATION AND THE USES OF SUCH INFORMATION.

YOU MUST INITIAL YOUR RESPONSES TO QUESTIONS 5,7,8 AND 9.

IF YOU ANSWER "YES" TO 7, 8, OR 9, YOU MUST FURNISH DETAILS ON A SEPARATE SHEET. INCLUDE DATES, LOCATION, FINES, SENTENCES, MISDEMEANOR OR FELONY, DATES OF PAROLE/PROBATION, UNPAID FINES OR PENALTIES, NAME(S) UNDER WHICH CHARGED, AND ANY OTHER PERTINENT INFORMATION. AN ARREST OR CONVICTION RECORD WILL NOT NECESSARILY DISQUALIFY YOU; HOWEVER, AN UNTRUTHFUL ANSWER WILL CAUSE YOUR APPLICATION TO BE DENIED AND SUBJECT YOU TO OTHER PENALTIES AS NOTED BELOW.

7. Are you presently subject to an indictment, criminal information, arraignment, or other process by which formal criminal charges are brought in any jurisdiction?  
 Yes  No  
 INITIALS: [Handwritten initials]

8. Have you been arrested in the past six months for any criminal offense?  
 Yes  No  
 INITIALS: [Handwritten initials]

9. For any criminal offense – other than a minor vehicle violation – have you ever: 1) been convicted; 2) pleaded guilty; 3) pleaded nolo contendere; 4) been placed on pretrial diversion or 5) been placed on any form of parole or probation (including probation before judgment)?  
 Yes  No  
 INITIALS: [Handwritten initials]

10. I authorize the Small Business Administration to request criminal record information about me from criminal justice agencies for the purpose of determining my eligibility for programs authorized by the Small Business Act and the Small Business Investment Act.

**CAUTION - PENALTIES FOR FALSE STATEMENTS:** Knowingly making a false statement on this form is a violation of Federal law and could result in criminal prosecution, significant civil penalties, and a denial of your loan, surety bond, or other program participation. A false statement is punishable under 18 USC 1001 and 3571 by imprisonment of not more than five years and/or a fine of up to \$250,000; under 15 USC 845 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 USC 1014 by imprisonment of not more than thirty years and/or a fine of not more than \$1,000,000.

Signature: [Handwritten: John Doe] Title: [Handwritten: President] Date: [Handwritten: 1-30-17]

Agency Use Only:  
 11.  Fingerprints Waived Date \_\_\_\_\_ Approving Authority \_\_\_\_\_  
 Fingerprints Required Date \_\_\_\_\_ Approving Authority \_\_\_\_\_  
 Date Sent to OPS \_\_\_\_\_

12.  Cleared for Processing Date \_\_\_\_\_ Approving Authority \_\_\_\_\_  
 13.  Request a Character Evaluation Date \_\_\_\_\_ Approving Authority \_\_\_\_\_  
 (Required whenever 7, 8 or 9 are answered "yes" even if cleared for processing.)

SBA 912 (4-2016) SOP 5010 Previous Edition Obsolete

Please remember to **handwrite initials** (do not type)

Please remember to **fill out** these sections of the form.





# Statement of Offense(s)

Statement should include:

- Date of offense(s)
- City and state or the county and state where the offense(s) occurred
- The specific charge(s) [DUI, assault, forgery, etc.] AND the level of the charge; (either a misdemeanor or felony)
- Disposition of the charge(s)
- State that all conditions have been satisfied, provide documentation
- Dated signature on the explanation
- Any other pertinent information



# Fingerprint Card

When an applicant discloses a felony arrest a Fingerprint Check is required and a Fingerprint Card must be completed

No copied/scanned fingerprint cards will be accepted—only LiveScan or hard card is allowed



# Fingerprint Card Sample

**APPLICANT**  
\* See Privacy Act Notice on Back  
 FD-298 (REV/3-1-10) 1110-0098

LEAVE BLANK

TYPE OR PRINT ALL INFORMATION IN BLACK

LAST NAME: NAM FIRST NAME: MIDDLE NAME: [ ]

DATE OF BIRTH: DOB  
 Month: Day: Year: [ ]

PLACE OF BIRTH: POB [ ]

ALIASES: AKA [ ]

CITY: STATE: CTZ: [ ]

RACE: HGT: WGT: EYES: HAIR: [ ]

YOUR NO: OCA [ ]

EMPLOYER AND ADDRESS [ ]

FBI NO: FBI [ ]

ARMED FORCES NO: MNU [ ]

CLASS: [ ]

REASON FINGERPRINTED: [ ]

SOCIAL SECURITY NO: SOC [ ]

REF: [ ]

MISCELLANEOUS NO: MNU [ ]

1. R. THUMB 2. R. INDEX 3. R. MIDDLE 4. R. RING 5. R. LITTLE

6. L. THUMB 7. L. INDEX 8. L. MIDDLE 9. L. RING 10. L. LITTLE

LEFT FOUR FINGERS TAKEN SIMULTANEOUSLY

L. THUMB R. THUMB

RIGHT FOUR FINGERS TAKEN SIMULTANEOUSLY

Card must be completed using black ink

All yellow highlighted areas must be completed

These boxes should be filled with the actual fingerprints



# General Tips for Completing the 912 Package

Write legibly. We strongly recommend typing

Include information from all previous felony convictions



# 912 Package Submission

## Delegated Lenders:

Office of Personnel Security (OPS)  
409 3rd Street SW  
SBA Headquarters 5th floor  
Washington, DC 20416

To email OPS complete 912 packages send to:

7(a): [oca912@sba.gov](mailto:oca912@sba.gov)

## Non-delegated Lenders:

Local SBA District Office or Loan Guaranty Processing Center (LGPC)

All 504 CDCs must submit the Form 912 package to:

Sacramento Loan Processing Center (SLPC)



# Notice and CFR

[Link to Notice 5000-1401 for SBA Form 912, SBA Form 1081, Fingerprint Cards](#)

[Link to 13 CFR § 120.110\(n\)](#)



# Contact Information

For more information on the 912 Package please contact:

Justine Alston

Financial Analyst

Office of Financial Assistance

[justine.alston@sba.gov](mailto:justine.alston@sba.gov)

202-205-7623