Request for Export Support &
Application for U.S. Small Business Administration (SBA)
State Trade Expansion Program (STEP)
Year VIII (October 2019 – September 2021)

IMPORTANT

The Governor's Kentucky Export Initiative is a consortium of leading trade and business promotion organizations, working together with companies to help build Kentucky's exporting capacity and productivity.

The Kentucky Cabinet for Economic Development, World Trade Center Kentucky, U.S. Export Assistance Centers, Kentucky Chamber of Commerce, Northern Kentucky International Trade Association, Kentucky Association of Manufacturers, and numerous partner organizations help companies identify and develop export opportunities through market research, education, international partner searches, customized business agendas, trade missions and trade shows, and more.

The U.S. Small Business Administration awarded the Kentucky Export Initiative a grant to support the export growth of small companies. This grant provides financial assistance for activities that help companies explore new markets, identify new buyers, and prepare for global business.

The information collected in this form will be used to determine your company's eligibility for SBA STEP grant financial assistance, to recommend appropriate export assistance services to your company. Submission of this form does not in any way obligate your company to accept export assistance services. Your signature on this document does obligate your company to the terms and conditions contained within only if your company accepts an offer of SBA STEP grant assistance.

Eligible companies may receive up to $10,000 in STEP assistance for export development activities. Stories and information related to your company's export success resulting from assistance through the STEP grant and/or KEI will be shared with the SBA and KEI member organizations.

Funded in part through a grant award with the U.S. Small Business Administration

U.S. Small Business Administration

SELF-REPRESENTATION AS AN 'ELIGIBLE SMALL BUSINESS CONCERN

The undersigned seeks services from a State grant recipient under the Trade Facilitation and Trade Enforcement Act of 2015 (HR 644) which authorized the State Trade Expansion Program (STEP).

Section 503 of the Trade Facilitation and Trade Enforcement Act of 2015 defines the term 'eligible small business concern,' as a business concern that:

1. Is organized or incorporated in the United States;
2. Is operating in the United States,
3. Meets
   a. The applicable industry-based small business size standard established under section 3 of the Small Business Act; or
   b. The alternate size standard applicable to the program under section 7(a) of the Small Business Act and the loan programs under title V of the Small Business Investment Act of 1958 (15 U.S.C. 695 et seq.);

   The U.S. Small Business Administration (SBA) size standards are found at 13 C.F.R. Part 121. Use the following sba.gov link for information on size standards for your business (https://www.sba.gov/category/navigation-structure/contracting/contracting-officials//small-business-size-standards)
4. Has been in business for not less than 1 year, as of the date on which assistance using a grant under this subsection commences; and
5. Has access to sufficient resources to bear the costs associated with trade, including the costs of packing, shipping, freight forwarding, and customs brokers.

The undersigned certifies that this is an export ready U.S. company seeking to export goods or services of U.S. origin or have at least 51% U.S. content.

Submitting false information in order to obtain services from a STEP grant recipient is a violation of Federal law. If you submit false information the Government may seek criminal, civil, and/or administrative remedies against you, pursuant to 18 U.S.C. §§ 1001, 1040; and 31 U.S.C. §§ 3729-3733. The Government may elect to exclude you from further participation in certain Federal programs and contracts if you submit false information in connection with receiving services from a STEP grant recipient.

I hereby certify that the business I represent is seeking services from a STEP grant recipient and is an eligible small business concern,* pursuant to the above definition.

SIGNATURE	DATE
TITLE	COMPANY NAME

All SBA programs and services are extended to the public on a nondiscriminatory basis.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 13 CFR Part 145. The regulations were published as Part VII of the May 26, 1988 Federal Register (pages 19160-19211). Copies of the regulations may be obtained by contacting the person to whom this proposal is submitted.
(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS ON REVERSE.)

(1) The prospective lower tier participant (business applicant completing certification) certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for disbarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant (Cabinet for Economic Development) shall attach an explanation to this proposal.

Business Name _____

Date _____

By _____

Name and Title of Authorized Representative _____

Signature of Authorized Representative _____

For Electronic Signature: The person responsible for signing the document may type his/her name in the signature field, but the name must be preceded by a "/s" (e.g., /s Jim Smith). An email is also required from the signer providing a statement certifying/authenticating the typed signature on the document is his/her signature.

INSTRUCTIONS FOR CERTIFICATION

By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below:

- The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
- All references to prospective participant are references to the Cabinet and the Export Initiative and all references to lower tier participant are to you, the applicant for services and grant funding.
- The prospective lower tier participant shall provide immediate written notice to the person to whom this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
- The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations (13CFR Part 145).
- The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
- The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction knowing the certification is erroneous. A participant may decide the method and frequency by which it determines the ineligibility of its principals. Each participant may, but is not required to, check the Non-Procurement List.
- Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- Except for transactions authorized in these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Application for Export Support
U.S. Small Business Administration (SBA)
State Trade Expansion Program (STEP)
Year VIII (October 2019 – September 2021)

INSTRUCTIONS FOR SUBMISSION

Please save this form to your computer, complete it, and email it as an attachment to carol.stringer@ky.gov with your company name in the subject heading. Applications for STEP grant assistance are reviewed regularly. You will be contacted shortly regarding your request.

Date:

Company name:		
Street Address:		
Mailing address (if different):		
City:	**State**:	**Zip:**
Website:		

Contact:
Title:
E-mail:
Phone:

Primary NAICS Code:
FEIN:

Company Ownership

Please identify all owners of the company with 20% or more interest in the company, include parent companies for subsidiaries. If owners are legal entities, please identify the officers serving on the board of directors, management committee of the applicant or other governing body or appropriate principals with governing oversight of the applicant entity and provide the requested information. The Cabinet may run a background check on any individuals identified. If necessary, please submit listing on a separate document.

Company or Individual Name	Date of Birth	City	State	FEIN / Social Security Number	Ownership Percent

Is the applicant or its owner publicly traded? ☐ **Yes** ☐ **No**

GENERAL INFORMATION

Is your company:

☐ Woman-Owned? ☐ Minority-Owned?
☐ Veteran-Owned? ☐ Rural-Owned?
☐ Service-Disabled Owned?

Does your company currently have an up-to-date business plan? ☐ **Yes** ☐ **No**

If YES, is exporting included? ☐ **Yes** ☐ **No**

Is your business new to export (NTE) or market expansion (ME)? ☐ **NTE?** ☐ **ME?**

Has your company ever participated in a Cabinet for Economic Development program before? ☐ **Yes** ☐ **No**

If YES, what program and when? _____

_____

Has your company ever exported any of its products/services? ☐ **Yes** ☐ **No**

Does your company currently export its products/services? ☐ **Yes** ☐ **No**

Has your company exported its products/services in the last 18 months? ☐ **Yes** ☐ **No**

How many employees does your company have in Kentucky? _____ **Worldwide?** _____

What were your company's approximate sales last year? _____

Has your company previously received assistance through STEP grant funds? (Answering yes will not disqualify your company from further assistance, but preference may be given to qualifying first-time applicants.) ☐ **Yes** ☐ **No**

PRODUCT INFORMATION

List and describe the product(s) your company currently exports or is considering exporting.

Product	Brief Description of Product	Currently Exporting?	Harmonized Tariff Schedule	% US Content

COMMERCIAL INFORMATION

What are your current U.S. marketing channels?

_____

_____

_____

_____

Please describe your company's current methodology for researching new markets.

_____

_____

_____

_____

Please list the customer base (type of end users and/or industries) for your company's product (s).

Product	Type of End Users or Industries

Does your company manufacture the products you represent? ☐ **Yes** ☐ **No**
If Yes, where (Please include Country, State and City)? _____

If not, in what capacity do you represent the products?
Exclusive Distributor ☐ **Sales Representative** ☐ **Other (please specify)** _____

Have you ever attended a trade show as a participant? ☐ **Yes** ☐ **No**
Abroad? ☐ **Yes** ☐ **No**

If Abroad, where? _____

Of the approved SBA list of exporting activities, mark the items your company will need assistance with:

☐ World Trade Center Kentucky One-on-One export counseling
☐ Education on export-specific topics (ex. documentation, financing, compliance, etc.)
☐ Professional translation of company materials or website
☐ U.S. Dept of Commerce services
☐ Participation in trade show or trade mission
☐ Foreign Market Sales Trip

Exporting Plan

1. **Please describe your status of export experience as new-to-export or market expansion.**

_____
_____
_____
_____

2. **Does your company have the resources to meet a 10 – 25% increase in demand for your product?**

_____

3. **Please list the specific country of the foreign markets of most interest to your company in order of priority.**

_____

4. **Please describe your product's competitive advantage or market niche.**

_____
_____
_____
_____

5. **Please list any formal export training that your company has attended in the last year (in person or webinar).**

_____
_____
_____
_____

6. **Please describe what your company plans to achieve in export development in the next 12 months.**

_____
_____
_____
_____

7. **Please describe what your company plans to achieve in export development within the next three years.**

_____
_____
_____
_____

The US Small Business Administration (SBA) would like to give eligible small business concerns the opportunity to expand your knowledge and resources of other programs that are offered by the agency. Please check the appropriate box if you would like for your company's name and contact information to be shared with other programs offered by the SBA. Your choice to participate or not, will not change the status of your participation with STEP. The SBA's aim is strictly to share information about other opportunities with you.

☐ YES ☐ NO

If awarded, how do you intend to use your STEP grant funds?

_____
_____
_____
_____

Are there specific trade shows you would like to attend with STEP funds?

_____
_____
_____
_____

We strongly recommend you contacting carol.stringer@ky.gov before submitting or filling out this application.

Certification of Application

Eligibility for SBA STEP grant financial assistance is determined by the information presented in this application. Any changes in the status of the company from the facts presented herein could disqualify the company from eligibility.

I, the undersigned, on behalf of the applicant, hereby represent and certify that the foregoing information is true, complete, and accurate to the best of my knowledge. I further certify I understand that financial assistance through the SBA STEP grant is fully contingent on my pledge to disclose to the KEI organizations the dollar figures of direct sales, signed partner agreements, fraud avoidance, and other evidence of export success that may be realized through this assistance. If approved for STEP grant assistance, I understand that my company will be asked to share this information with KEI member organizations for up to three (3) years and that this information will be reported as required to the U.S. Small Business Administration to measure the overall effect of the KEI and STEP grant funds on the export growth of Kentucky's economy.

If my company should fail to share the required information, it may be required to repay to the SBA any STEP grant funds released as a result of the acceptance of terms and conditions contained in this document.

The undersigned has complied with all federal statutes relating to non-discrimination including, but not limited to, Title VI of the Civil Rights Act of 1974, which prohibits discrimination on the basis of race, religion, color, national origin, sex, sexual orientation, gender identity, or age. The undersigned has either adopted its own Title VI Implementation Plan, which will be made available for review by the Cabinet's Title VI Coordinator, or agrees to adopt the Title VI Implementation Plan of the CED.

The undersigned, on behalf of the applicant, acknowledges that information contained within the application and its attachments may be subject to public disclosure to the extent required by law pursuant to any request made under the Kentucky Open Records Act contained in Chapter 61 of the Kentucky Revised Statutes. Notwithstanding the above, except as otherwise agreed to by the applicant in writing, no confidential or proprietary information shall be disclosed if properly excluded from the disclosure under KRS 61.878 (as determined by the Authority, the Kentucky Attorney General or court of competent jurisdiction.)

_____	_____
Signature*	**Date**
_____	_____
Title	**Company**

* For Electronic Signature: The person responsible for signing the document may type his/her name in the signature field, but the name must be preceded by a "/s" (e.g., /s Jim Smith). An email is also required from the signer providing a statement certifying/authenticating the typed signature on the document is his/her signature.

INSTRUCTIONS FOR SUBMISSION

Please save and email this document to **carol.stringer@ky.gov** and indicate in the body of the e-mail that the signatures contained within the application are electronic and that you have chosen to file the application electronically. Also, please remember to put your company name in the subject line.

Your application will be reviewed and you will be contacted shortly regarding your request. Your company will receive a customized recommendation for export services from each of the appropriate member organizations of the Kentucky Export Initiative. If your company is determined to be eligible for STEP grant assistance, you will also receive a list of qualifying export services and activities, reimbursement rates, and per company limits on assistance. Your company will need to review the recommended services, designate the services for which you plan to accept STEP grant assistance, and return the necessary forms to the Kentucky Cabinet for Economic Development at **carol.stringer@ky.gov** .

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