



Annual Review Document Checklist

Please include the following documents with your Annual Review. Each document will be uploaded individually with the relevant annual review question.

Each document must be saved individually as a PDF, no larger than 25MB, and named with the naming convention: FileName_Year (e.g. TaxReturn_2021). Documents must not be password protected.

Eligibility

- Details and/or supporting documentation if there have been changes to the following since your approval or in the past program year:**
 - Ownership
 - Management (including change in one or more individuals holding the position of officer, director or day-to-day manager of the Participant as well as DVD's full-time devotion to the Participant company)
 - Affiliates
 - Business structure (change from LLC to Corporation for example)
 - Primary NAICS code designation (SBA must approve any change to primary NAICS code)
 - Registration documents (Articles of Incorporation/Organization)
 - Governing documents (Bylaws, Operating Agreement, Partnership Agreement)
 - Stock/Membership Certificates

- Any other changes that could impact eligibility
- Details and/or supporting documentation if there has been conduct by your company or any of its principals in the since your approval or in the last program year showing lack of business integrity or good character** resulting in any of the following: an arrest, criminal indictment, a guilty plea or criminal conviction, a judgment or settlement in a civil lawsuit, or other consequences from lack of business integrity or good character.
- **Note: Only provide the company’s information** such as details regarding any debarment or suspension, including documentation showing the debarment has been lifted; document describing company’s interest in any pending lawsuit, the claims, the current status, and a copy of the complaint, answer, and/or counterclaim filed in the suit. **The principals will have the opportunity to provide their information as part of the Individual Contributor application.**
- Details and/or supporting documentation if there are or have been any pending adverse actions since your approval or in the past program year that may affect your company’s business operations not previously reported to SBA**, such as lawsuits, delinquent taxes, bankruptcy filings, creditor problems, contract disputes, or other adverse actions.
- [SBA Form Benefit Report](#)** (if your company is entity-owned (ANCs, NHOs, Tribes, CDCs))
- Federal business tax returns for the previous year, including all forms, schedules, attachments, and proof of payment if a balance was due.
- Year-end Balance Sheet and Profit & Loss (Income) Statement** with a breakout of 8(a) and non-8(a) revenue (13 C.F.R. § 124.602)
- Companies with over \$10 million in gross annual receipts must submit audited annual financial statements prepared by a licensed independent public accountant within 120 days after the close of the company’s fiscal year.
 - Companies with gross annual receipts of \$2 million to \$10 million must submit reviewed annual financial statements prepared by a licensed independent public within 90 days after the close of the company’s fiscal year.
 - Companies with less than \$2 million in gross annual receipts must submit



annual financial statements prepared in-house or compiled by a licensed independent accountant and verified as to accuracy by the proprietor or an authorized officer within 90 days after the close of the company's fiscal year.

Ownership:

- Details of all salaries, bonuses, advances, loans, distributions, or dividends paid in the past fiscal year to your company's owners, officers, directors, and other companies or individuals**, including explanation of any payments that were not salaries. Include each person's name, title, equity interest, salary, and total payments.
- Detail of any promissory notes or loans since your approval or past program year** that were made to the company's owners, officers, directors, shareholders owning more than 20% of the company's stock, or other companies or individual.

Control:

- [SBA Form 1790](#) (if your company hired outside support to help you obtain any federal government contract - upload one form for the first 6 months and one for the last 6 months of the past program year)
- If you are not the highest compensated individual in the company **since the application approval or past program year**, provide an explanation of why it is in the best interest of the company for you to take a lower compensation than someone else.

Business Development:

- Updated [SBA 8\(a\) Business Plan](#)
- Updated Marketing Capability Statement
- 8(a) Joint Ventures (JV) including JV name, JV UEI, and JV partner names** (if your company has active 8(a) JV)
- [8\(a\) Contracts Worksheet](#) (if your company has performed work on any 8(a) contracts during the past program year)

Additional Documents for Disadvantaged Individual(s)



- Personal tax return for the previous year including all forms, schedules, attachments, and proof of payment if a balance was due. **NOTE: Not applicable for entity-owned companies.**