NEW YORK STATE OF OPPORTUNITY. | Empire State Development

## NYS STEP Grant Program Application Form

This application and associated forms must be completed in their entirety to be considered eligible. Incomplete applications will be disqualified. You will be notified whether or not your company qualifies to receive a NYS STEP grant, upon completion of the evaluation of your application.

| 1. COMPANY AND CONTACT INFORMATION: | |
|---|---|
| Company Name: | |
| Address (include Street, City, State, Zip Code): | |
| Contact Person: | Title: |
| Telephone #: | E-Mail: |
| Secondary Contact Person: | Title: |
| Telephone #: | E-Mail: |
| Website: | Fax #: |

## 2. COMPANY DESCRIPTION:

**Company Activity (check all that apply)**

☐ Manufacturer ☐ Distributor ☐ Service Company ☐ Franchisor ☐ Other: (specify)

**Industries (check all that apply)**

☐ Aerospace, Aviation & Defense
☐ Advanced Materials & Chemicals
☐ Agriculture & Processed Foods
☐ Beer, Wine & Spirits
☐ Biotech, Medical Devices & Life Sciences
☐ Clean Technology, Recycling & Renewable Energy
☐ Jewelry Manufacturing
☐ Products and Service Technologies
☐ High-Tech Electronics, Software / IT & Communications
☐ Nanoelectronics / Nanotechnology
☐ Other: (specify)

**Provide a brief company description**.

| **Primary NAICS Code (If known):** | **Year business established:** | **Number of Employees in New York State**: |
|---|---|---|

| **Company Annual Sales:** | **Business Facility Area Size** (Square feet): |
|---|---|

**Annual Exports:** ☐ Not Exporting/New to Exporting
☐ Currently exporting and percentage of annual sales %

**Do any of the following apply to your business? (check all that apply)**

☐ Minority-owned business ☐ Veteran-owned business
☐ Rural business ☐ Woman-owned business

**Is your business M/WBE certified in New York State?** ☐ Yes ☐ No

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## 3. PRODUCT / SERVICE INFORMATION:

**Describe the product/service(s) you seek to promote including its comparative advantages and unique selling proposition.**

**Who are your major competitors at home and abroad?**

**How are your products /services typically distributed and marketed in the United States (and in other countries if applicable)? And are there any special licenses or registration required in the United States?**

**Does your product consist of at least 51% New York State content?** ☐ Yes ☐ No
**Provide information about where these products are made (New York, USA, overseas, etc...) and who produces them.**

**Has your product /service been certified to meet domestic or international standards? If so, please indicate.**

**What domestic and international trade shows are the most relevant to your firm?**

**Do you actively attend/exhibit at them?** ☐ Yes ☐ No

**Are you currently represented in a foreign country? If yes, which country? How are you represented? (e.g., agent, distributor, sales office, etc.).**

**Are you currently working with ESD or a U.S. Commercial Service Office?** ☐ Yes ☐ No
**If yes, please identify the city and Trade Specialist**:

## 4. SELECTION OF TRADE EVENT OR OTHER TRADE PROMOTIONAL ACTIVITY:

Please check the NYS STEP Grant Program trade event or other trade promotional activity listed below that you are interested in participating and for which you are requesting funding assistance. Businesses may apply for only **ONE** NYS STEP Grant Program at a time and may then reapply after demonstrating successful completion of the elected activity or event and satisfying all reporting requirements. There is a maximum limit of three awards per small business, provided that program funds are available and the number of individuals for whom expenses may be reimbursed is limited to one per application. The NYS STEP Grant Program does not allow for reimbursement of retroactive trade activities that have already have been completed.

**Programmed Trade Shows / Missions**:

☐ **Israel Trade Mission, February 13-21, 2016** - Recruitment for the trade mission has been completed. **OPTION CLOSED.** The goal of the trade mission is to assist small- to medium-sized companies export products and services to this exciting market.

☐ **Hannover Messe 2016, Hannover, Germany, April 25-29, 2016** - The world's leading Trade Fair for industrial Technology. The exhibitors will showcase new products along the entire industrial value chain. The world's leading show for industrial technology highlights innovations and groundbreaking solutions in all the core sectors - i.e. industrial automation and IT, energy and environmental technology, industrial supply, production engineering and services, as well as research and development. Recruitment for the trade mission has been completed. OPTION CLOSED.

☐ **China Import Expo (CIE), Kunshan, China, May 19-21, 2016 Kunshan, China -** This event will provide an opportunity to review world-class exhibits, foresee the industry trend and know about China's import market. It is a great chance to enter the Chinese market. CIE, As the only professional import expo in China, CIE adheres to the theme of "openness and cooperation, transformation and upgrading", and carries out exhibition and activities centering on the advanced technology, key equipment and emerging industries with strategic importance. Recruitment for the trade mission has been completed. OPTION CLOSED.

☐ **Trade Mission to Canada – September 7-9, 2016 -** Join Global NY's multi-sector trade mission to Canada. Global NY is recruiting up to 12 NYS companies (one person per company) to participate in a September trade mission to Canada. Key industries include: Aerospace; Defense and Security; ICT; Renewable Energy and Medical Devices. The deadline for applications is June 30, 2016.

**OTHER TRADE PROMOTION ACTIVITIES:**

☐ **Participation in Foreign Sales Trips and Approved Domestic Trade Events such as the International Buyer Program** – STEP Funding is no longer available for this activity. **OPTION CLOSED.**

☐ **Fee-based services (Gold Key Services and International Partner Search) -** by the U.S. Department of Commerce – Access Gold Key Matching Services and the International Partner Search, run through the International Trade Administration's U.S. Commercial Service. (DOC/ITA/Commercial Service).

☐ **Development of international marketing campaign(s) and/or foreign translation(s) services of e-commerce portal -** Development of international marketing materials and/or foreign translation of company websites for export. **Estimated cost($):**
**Please enclose a copy of the price quote(s) for this project.**

☐ **Participation in international trade training workshops -** Attend seminars or engage in other training activities for company personnel to enhance skills and abilities to export products/services.

Name of Sponsoring Organization:
Location:
Title of Course/Program:
Training/Workshop Date(s): Registration Fee ($):

☐ **Participation in Global Trade Exhibits:** STEP Funding is no longer available for this activity. **OPTION CLOSED.**

**Evaluation Process & Funding:** ESD staff will review all applications and make a determination regarding the applicant's eligibility and recommend grant award amounts within 30 days of receipt of the application. The NYS STEP Grant Program is awarded in the form of a reimbursement. Qualified reimbursable costs/expenses for activity events include: travel and lodging, the actual cost of travel must be on a U.S. Flag Carrier (pursuant to the Fly America Act provisions), plus applicable hotel tax and service charges that apply and cannot exceed the maximum allowed under the federal per diem rates as established by the U.S. Department of State (for more information please visit: http://aoprals.state.gov/web920/per_diem.asp), Gold Key Services, website or marketing materials translation services, trade mission/show registration and booth fees.

## 5. ADDITIONAL INFORMATION FOR SELECTION OF TRADE EVENT PARTICIPATION:

**You are not required to complete this section if you have applied above for participation in international trade training workshops. For applicants that will participate in events that include international travel and lodging, please respond to the following items.**

**If international travel is involved, please name traveler here**:

**What date will you leave New York State?**

**What is city and country of the destination?**

**What date will you leave the location of the trade event?**

**Has your company undertaken this event/activity in the past?** ☐ Yes ☐ No

**What type of business contacts are you seeking?**

☐ Distributor / Wholesaler ☐ Joint Venture Partner or Licensee

☐ Agent / Sales Representative ☐ Franchisee ☐ Other (please specify):

**Note:** If changes occur to your planned arrangements, failure to provide adequate notice to ESD officials of the changes may void any awarded funds.

## 6. FEDERAL FORMS AND REPORTING:

**Required Federal Forms**

In order to be considered to receive a NYS STEP Grant, you are required to complete the following forms from the SBA. Please download each form at the link provided and fill it out completely. Once you have completed and signed the forms, please scan them and email them along with this completed application form to globalny@esd.ny.gov.

1) Self-Representation as an Eligible Small Business Concern and
2) Debarment, Suspension, and Other Responsibility Matters Primary Covered Transactions

| |
|---|
| **Export Questionnaire -** The applicant must complete this nine-question questionnaire that highlights characteristics common to successful exporters. Once you complete the questionnaire, you will receive a score between 0 - 100, which will help you assess your export readiness, as well as identify areas where you can strengthen and improve your business export activities. Select this link, Export Questionnaire, to begin the questionnaire. Once you complete the questionnaire, please print your results, scan them, and email to ESD along with the STEP application.<br><br>**Post-Trade Event Required Metrics and Report** - Each STEP grant is funded in part through a cooperative agreement with the SBA. The federal grant requires New York State to report all dollar value of export sales generated and directly derived as a result of your participation in the trade event or trade promotion activity program. You will need to complete and submit after completing your trade event the Program Impact Report that is available at http://global.ny.gov/sites/default/files/NYSSTEPGrantProgram2015ProgramImpactReport.pdf |
| By signing below, you agree to adhere to all federal and New York State grant requirements, and to provide sales and job creation statistics directly derived as a result of your participation in the trade event as required by the NYS STEP Grant Program. |

## 7. CERTIFICATION: Information Disclosure Verification

The undersigned: certifies that all of the information contained in this application and in all statements, data and supporting documents which have been made or furnished for the purpose of receiving assistance for the project described in this application, are true, correct and complete to the best of your knowledge and belief; acknowledges that the State of New York or its agencies and political subdivisions may in its discretion, by means which it chooses, verify the truth and accuracy of all statements made herein; and acknowledges that offering a written instrument knowing that the written instrument contains a false statement or false information, with the intent to defraud the State or any political subdivision, public authority or public benefit corporation of the State, with the knowledge or belief that it will be filed with or recorded by the State or any political subdivision, public authority or public benefit corporation of the State, constitutes a crime under New York State Law.

**The undersigned agrees to submit with this application the SBA Self Certification and Debarment forms that are available as download documents below. The undersigned also agrees to complete the Program Impact Report in the form attached that is described separately.**

| | |
|---|---|
| Signature of Authorized Company Official | Date: |
| Print Name: | Print Title: |

Applications **must** be received by **email or mail**. The signed final page may be submitted separately if necessary (either scan and email or postal mail). Please email completed STEP application, SBA forms and Export Questionnaire to globalny@esd.ny.gov. Mail the original completed and signed forms to:

Global NY
Empire State Development
633 Third Avenue, 36 Floor
New York, NY 10017
Attn: NYS STEP Grant Program

If you have any questions on how to complete the application, please contact a Global NY representative at Empire State Development at the following telephone #s:

| **New York State Region:** | **Global NY Staff Telephone #** |
|---|---|
| Capital District | (518) 270-1133 |
| Central New York | (518) 270-1133 |
| Finger Lakes | (716) 846-8237 |
| Long Island | (212) 803-2346 |
| Mid-Hudson | (845) 674-9267 |
| Mohawk Valley | (845) 674-9267 |
| New York City | (212) 803-2344 |
| North Country | (518) 270-1133 |
| Southern Tier | (716) 846-8237 |
| Western New York | (716) 846-8237 |

General Global NY Telephone # (212) 803-2300

**U.S. SMALL BUSINESS ADMINISTRATION**
**WASHINGTON, D.C. 20416**

# 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.

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 |

**Certification Regarding**
**Debarment, Suspension, and Other Responsibility Matters**
**Primary 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 are available from local offices of the U.S. Small Business Administration.

**(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS BELOW)**

(1) The prospective primary participant certifies to the best of its knowledge and belief that it and its principals:

(a) Are not presently debarred, suspended, proposed for disbarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective primary participant shall attach an explanation to this proposal.

Business Name _____

Date _____

By _____
Name and Title of Authorized Representative

_____
Signature of Authorized Representative


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**INSTRUCTIONS FOR CERTIFICATION**

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If is is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. 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 Order 12549. You may contact the department or agency to which this proposal is submitted for assistance in obtaining a copy of those regulations (13 CFR Part 145).

6. The prospective primary 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 entering into this transaction.

7. The prospective primary 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," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that 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 Nonprocurement List.

9. 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.

10. Except for transactions authorized under paragraph 6 of 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 may terminate this transaction for cause or default.