



Global NY State Trade Expansion (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 Global NY 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) | | |
| <input type="checkbox"/> Manufacturer <input type="checkbox"/> Distributor <input type="checkbox"/> Service Company <input type="checkbox"/> Franchisor <input type="checkbox"/> Other: (specify) | | |
| Industries (check all that apply) | | |
| <input type="checkbox"/> Aerospace, Aviation & Defense <input type="checkbox"/> Advanced Materials & Chemicals <input type="checkbox"/> Agriculture & Processed Foods <input type="checkbox"/> Beer, Wine & Spirits <input type="checkbox"/> Biotech, Medical Devices & Life Sciences | <input type="checkbox"/> Clean Technology, Recycling & Renewable Energy <input type="checkbox"/> Jewelry Manufacturing <input type="checkbox"/> Products and Service Technologies <input type="checkbox"/> High-Tech Electronics, Software / IT & Communications <input type="checkbox"/> Nanotechnology <input type="checkbox"/> Other: (specify) | |
| Provide a brief company description. | | |
| Primary NAICS Code (If known): | Year business established: | Employees in New York State: |
| Company Annual Sales: | Business Facility Area Size (Square feet): | |
| Annual Exports: <input type="checkbox"/> Not Exporting/New to Exporting <input type="checkbox"/> Current export percentage of annual sales % | | |
| Do any of the following apply to your business? (check all that apply) | | |
| <input type="checkbox"/> Minority-owned business <input type="checkbox"/> Rural business | <input type="checkbox"/> Veteran-owned business <input type="checkbox"/> Woman-owned business | |
| Is your business M/WBE certified in New York State? <input type="checkbox"/> Yes <input type="checkbox"/> No | | |



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 is your product /service 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 name of Trade Specialist: City Name

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

Please check the Global NY STEP trade event or other trade promotional activity listed below that you are interested in participating and for which you are requesting funding assistance. There is a maximum limit of two (2) different types of trade events or activities grant awards per small business per funding cycle, provided that program funds are available. The Global NY STEP Grant Program does not allow for reimbursement of retroactive trade activities that have already been completed.

ESD STEP Programmed Trade Shows/Missions:

Smart City Expo World Congress (SCEWC), Barcelona, Spain, November 15-17, 2016

The SCEWC summit brings together city representatives, companies and exhibitors from around the world to discuss and showcase urban transformation ideas, technologies and solutions including, but not limited to: Mobility and Transportation; Technology and Telecommunications; Energy Efficiency and Sustainability; Environmental Management; Resource Management and Infrastructure; Data Technologies and Cyber Security; and Security and Emergency Management.



The Conference of Great Lakes and St. Lawrence Governors and Premiers Trade Mission to Indonesia and Vietnam, February 27 – March 4, 2017

– The Conference is leading a multi-sector trade mission to Indonesia & Vietnam from February 27 - March 4, 2017. The goal of this mission is to assist eligible NY companies to export products and services to these growing markets. Each mission participant will receive a customized schedule of B2B meetings to meet with prospective customers and business partners. Mission participants will also benefit from networking events and logistical support provided by the Conference's South East Asia Representative.

Africa Health, , Johannesburg, South Africa, June 7-9-21, 2017

Africa Health is the continent’s largest healthcare exhibition and is a leading platform for the industry to meet, learn and do business. The exhibition takes place from 7-9 June 2017 at the Gallagher Centre, Johannesburg, and will attract more than 9,000 healthcare professionals and host 540 of the world’s leading healthcare suppliers, manufacturers and service providers.

Trade Mission to China, July – September 2017 (Exact program and dates to be determined)

– The goal of the trade mission is to increase the number of eligible New York small businesses that begin to export and increase the value of exports for small businesses that currently export products and services to this exciting market.

Other ESD STEP Trade Promotion Activities:

Financial Assistance Awards for Travel – To participate in qualified foreign market sales trips and for travel in the U.S. to participate in a U.S. Department of Commerce International Buyer Program (IBP) and IBP Select trade shows. Qualified trips include New York company representatives traveling for a U.S. Commercial Service Gold Key Matching Service or ESD’s Export Market Assistance Services Plus (EMAS Plus) Program (both of which help New York companies identify legitimate buyers or distributors in foreign markets). Clients may receive STEP awards of up to \$2,500 per firm depending on destination and duration of meetings. Note: Reimbursement for travel expenses is limited to one company representative. Click here for an official list of U.S. Department [IBP](#) and [IBP Select](#) Trade Shows.

- EMAS Plus
- U.S. Commercial Service Gold Key
- IBP Trade Show
- IBP Select Trade Show

Name of Traveler:

Meetings & Appointments with:

Trade Show Name:

Destination: City, Country

Date Travel to Begin:

Date Travel to End:

Common Carrier Expense (\$):

(coach-class airfare for one company representative)

Shipping Fees (\$):

Ground Transportation Expense (\$):

Meals and Incidental Expense(\$):

Lodging Expense (\$):

Projected Total Expenses (\$):



- Subscription to Services Offered by the U.S. Department of Commerce** - Fee-based services, such as Gold Key Matching Service run through the International Trade Administration's [U.S. Commercial Service](#); up to \$1,000 per firm may be awarded.
Provide Description of Service and Estimated Cost:

- Website Content/Foreign Language Translation Fees and/or Development of International Marketing Campaign(s)** - up to \$1,750 per firm may be awarded.
Provide Description of Project and Estimated Cost:

- Targeted Export Training Workshops** - Attend seminars or engage in other training activities for company personnel to enhance skills and abilities to export products/services; up to \$1,000 per firm may be awarded.

Name of Sponsoring Organization:

Location:

Title of Course/Program:

Training/Workshop Date(s):

Registration Fee (\$):

- Exhibit at an International Trade Show.** Event-specific grants of up to \$5,000 per firm for eligible New York companies towards the cost of booth space and setup fees for exhibition at international trade shows or domestic U.S. Department of Commerce IBP and IBP Select trade shows. Grants will be allocated on a reimbursement basis, subject to applicants' meeting Global NY STEP grant guidelines and other selection criteria.

International Trade Show (Foreign)

U.S. Department of Commerce IBP or IBP Select Trade Show (Domestic)

Trade Exhibit Name:

City, Country (Location):

Exhibit Date(s):

Exhibit & Registration Fee (\$):

Shipping Fees (\$):

Setup Fees (\$):

Projected Total Exhibit Expenses (\$):

Date Travel to Begin:

Date Travel to End:

Common Carrier Expense (\$):

(coach-class airfare for one company representative)

Ground Transportation Expense (\$):

Meals and Incidental Expense(\$):

Lodging Expense (\$):

Projected Total Travel Expenses (\$):

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 Global NY STEP grant 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). Travelers may only be reimbursed up to the cost of a full-fare, economy (coach) class ticket. If business or first class tickets are purchased, companies will need to submit a travel agent's or airline written quotation for the economy ticket for the same dates and itinerary; 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: https://aoprals.state.gov/web920/per_diem.asp), Gold Key Matchmaking Service, 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 for participation in international trade training workshops. | |
| If international travel is involved, please name traveler here: | |
| Departure date? | |
| 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? <input type="checkbox"/> Yes <input type="checkbox"/> No | |
| What type of business contacts are you seeking? | |
| <input type="checkbox"/> Distributor / Wholesaler | <input type="checkbox"/> Joint Venture Partner or Licensee |
| <input type="checkbox"/> Agent / Sales Representative | <input type="checkbox"/> 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 Global NY NYS STEP Grant, you are required to complete the following forms from the SBA. |
| <ol style="list-style-type: none"> 1) Self-Representation as an Eligible Small Business Concern and 2) Debarment, Suspension, and Other Responsibility Matters Primary Covered Transactions 3) Copies of the two SBA forms are attached to this STEP application. Please complete and sign each form and have them scanned and emailed along with this completed STEP application form to globalny@esd.ny.gov. |
| Export Readiness Questionnaire - The applicant must also complete this 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 Global NY STEP grant application. |

Post-Trade Event Required Metrics and Report - Each Global NY 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 Project Impact Report that is available to be downloaded @ <http://global.ny.gov/sites/default/files/NYSSTEPGrantProgram2016ProjectImpactReport.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 Global NY STEP grant.

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 Global NY STEP Grant Program 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 | (585) 399-7060 |
| Finger Lakes | (585) 399-7060 |
| 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

Email globalny@esd.ny.gov

Global NY STEP Grant Program

“Funded in part through a Cooperative Agreement with the U.S. Small Business Administration”





**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](https://www.sba.gov/category/navigation-structure/contracting/contracting-officials//small-business-size-standards) 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 ON REVERSE)

- (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

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 it 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.