

Required PPP Loan Documentation

As of January 19, 2021

Please note, this document is currently being updated with guidance issued from the SBA on January 19, 2021.

For more information, please review the SBA guidance entitled “Second Draw Paycheck Protection Program (PPP) Loans: [How to Calculate Revenue Reduction and Maximum Loan Amounts Including What Documentation to Provide](#)”

Overview

As your trusted financial partner, we've created this guide to aid you in collecting and assembling the required documentation to support your application for a first time or second time Small Business Administration (SBA) Paycheck Protection Program (PPP) loan. Information is subject to change based on SBA Guidance.¹

Using this document:

Step 1: Review the "How to Upload Documents."

Step 2: Locate your business entity type

Step 3: Review the list of required supporting documents applicable to your situation

Step 4: Collect your documents and organize for upload to the PPP loan portal

After submitting, we will contact you if additional information is needed. Please keep in mind we might need other documents not listed in this guide.

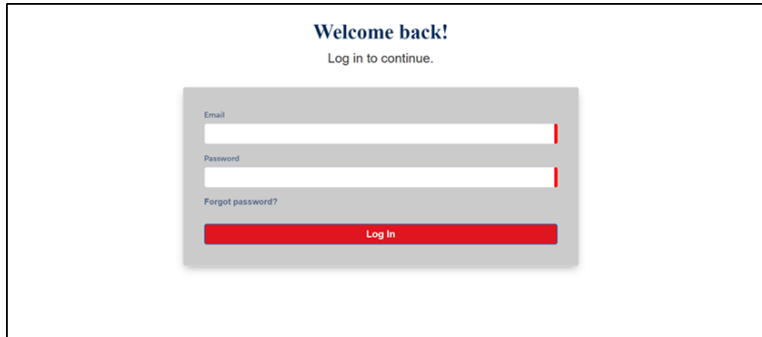
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How To Upload Documents

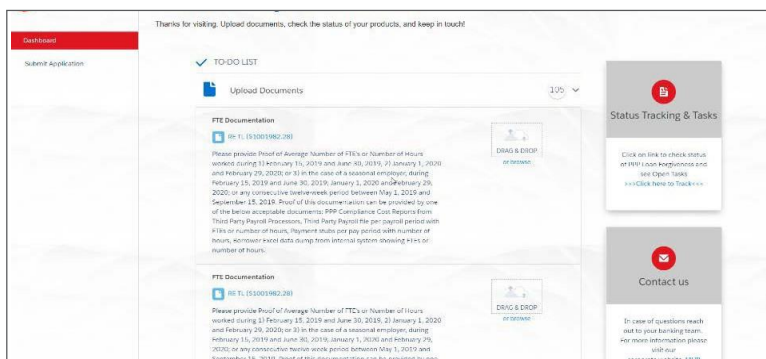
- Log in to the Union Bank PPP Loan Portal by visiting www.unionbank.com/ppp and click the **Log In** button. This will take you to the **Welcome Back!** page where you should type in your email and password associated with your loan or application.



- You will then be prompted to enter the last 4 of your TIN and have a One-Time Passcode (OTP) sent to you.
- When your application is submitted, document placeholders will appear under the **To-Do List** on the **Dashboard**, prompting you to upload or reupload any necessary documents.



- To upload documents, select the drop-down arrow under **Upload Documents** under the **To-Do List**. Drag and drop or browse and select any relevant documents into the appropriate placeholder. Documents are displayed with descriptions and information on acceptable documents types.



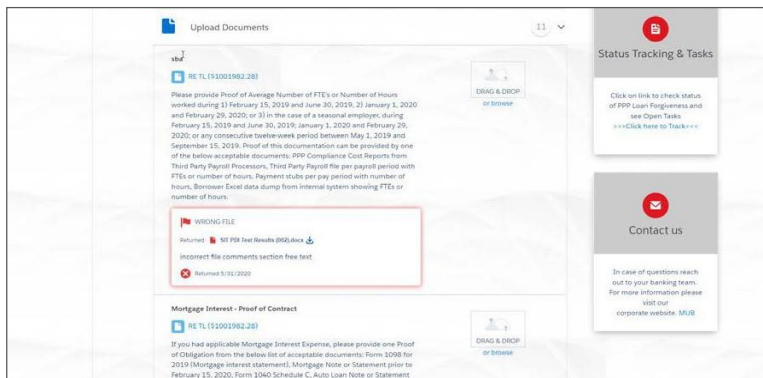
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How To Upload Documents – Part 2

- If a document needs to be reuploaded during the same session that it was originally uploaded, you may select **Replace**, and reupload the document. After you logout from a session you will be unable to replace a document.



- If any previously uploaded documents have been rejected, or if a new document needs to be uploaded, you will receive an email notification instructing you to log in to the dashboard. These documents will also show up under the **To-Do List** with detailed rejection reasons, allowing you to replace/provide new, correct documentation.
- Once logged in, you will see the document updates in the placeholder with the rejection and reason. This is where you will reupload a document.



- You can track the status of the application on the **Dashboard** page by going to the **Status Tracking & Tasks** box on the right side of the page and selecting **Click Here to Track**.

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Second Draw PPP Loan Program Eligibility

Borrowers are responsible for reviewing the latest guidance on the SBA's PPP website at:
<https://www.sba.gov/funding-programs/loans/coronavirus-relief-options/paycheck-protection-program>

Can I obtain a Second Draw PPP Loan?

Yes, you may be eligible for second draw PPP Loan if you –

- Previously received a First Draw PPP Loan and will / have used the full amount;
- You were in business prior to February 15, 2020;
- Have no more than 300 employees; and
- Can demonstrate at least a 25% reduction in gross receipts between comparable quarters in 2019 and 2020 by either -
 - Comparing 2019 annual revenues to 2020 annual reviews; or
 - Comparing quarterly receipts on one quarter of 2019 to the same quarter in 2020.

Number of Employees

Businesses with an NAICS code beginning with 72 that have more than one physical location, are eligible if there are not more than 300 employees per physical location.

Any FCC licensed news organization with more than one physical location that employs not more than 300 employees per physical location, may be eligible if it:

- Is majority owned / controlled by a business assigned an NAICS code beginning with 511110 or 5151; or is a public (non-profit) broadcasting company; and
- Provides a certification that proceeds of the loan will be used to support expenses at the component of the organization that produces / distributes locally focused or emergency information.

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<https://www.sba.gov/funding-programs/loans/coronavirus-relief-options/paycheck-protection-program>.

Gross Receipts Overview - Second Draw PPP Loans

The Economic Aid Act provides that, to be eligible for a Second Draw PPP Loan, **the borrower must have experienced a revenue reduction of 25% or greater in 2020 relative to 2019.**

Gross Receipts Definition:

- For-profit entities gross receipts include all revenue in whatever form received or accrued (in accordance with the entity's accounting method) from whatever source, including from the sales of products or services, interest, dividends, rents, royalties, fees, or commissions, reduced by returns and allowances.
- Nonprofit organizations, Veterans organizations, nonprofit news organizations, eligible 501(c) organizations, and destination marketing organizations, gross receipts are the total amounts the organization received from all sources without subtracting any costs or expenses as defined in section 6033 of the Internal Revenue Code of 1986.

Affiliate Rules:

- Gross receipts of a borrower must be aggregated with gross receipts of its affiliates unless a waiver of affiliation applies.

Gross Receipts Reference Periods:

- A borrower must calculate revenue reduction by comparing the borrower's quarterly gross receipts for one quarter in 2020 ("Comparative Quarter") with the borrower's gross receipts for the corresponding quarter of 2019 ("Reference Quarter"). Please utilize the chart below to determine which quarters are appropriate for your gross receipts comparison.

Second Draw Documentation Requirements:

- Financial statements are required at the time of PPP loan application for Second Draw loans greater than \$150,000.
- For Second Draw loans less than or equal to \$150,000, documentation demonstrating revenue reduction will be required at the time of forgiveness.
- **Fiscal Year Tax Filer:** Entities that use a fiscal year to file taxes may document a reduction in gross receipts with income tax returns only if their fiscal year contains all of the second, third, and fourth quarters of the calendar year (i.e., have a fiscal year start date of February 1, March 1, or April 1).
- **Signature Requirements:** The Applicant must sign and date the first page of any unaudited financial statement and initial all other pages, attesting to their accuracy. If the financial statements do not specifically identify the line item(s) that constitute gross receipts, the Applicant must annotate which line item(s) constitute gross receipts.
- **2020 Tax Returns:** If the entity has not yet filed a tax return for 2020, the Applicant must fill out the return forms, compute the relevant gross receipts value, and sign and date the return, attesting that the values that enter into the gross receipts computation are the same values that will be filed on the entity's tax return.

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Second Draw PPP Loan Program Eligibility – Gross Receipts

How do I demonstrate a 25% reduction in gross receipts?

1. Determine the date your business was opened/established; and
2. Review and compare gross receipts from 2019 and 2020 (standards shown in the chart below), to determine whether you have a 25% reduction in 2020, as compared to 2019; and
3. Provide gross receipts documentation when required.

Second Draw PPP Loan Eligibility - Gross Receipts Determination			
Step 1	Step 2 Compare Gross Receipts		Step 3 If the comparison of Gross Receipts reflects a 25% reduction
When was your business opened/established?	2019 Reference Period	2020 Comparative Period	Gross Receipts Documentation
Prior to 2019 [1 of 2 options]	Any Quarter in 2019 2019 Tax Forms	Same Quarter in 2020 2020 Tax Forms	<ul style="list-style-type: none"> • If your loan request is more than \$150,000, documentation of Gross Receipts is required at loan application. • If your loan request is less than or equal to \$150,000, documentation of Gross Receipts is optional at loan application and will be required at loan forgiveness.
Q1 or Q2 2019: 1/1/2019 - 6/30/2019	Q2, Q3, or Q4 2019	Same Quarter in 2020	
Q3 2019: 7/1/2019 - 9/30/2019	Q3 or Q4 2019	Q1, Q2, Q3, or Q4 2020	
Q4 2019: 10/1/2019 - 12/31/2019	Q4 2019	Q1, Q2, Q3, or Q4 2020	
1/1/2020 - 2/15/2020	Q1 2020	Q2, Q3, or Q4 2020	

Illustrative Example 1: You are applying for \$10,000, have gross receipts of \$50,000 in the second quarter of 2019 and gross receipts of \$30,000 in the second quarter of 2020, with a revenue reduction of 40 percent between the quarters. You may be eligible for a Second Draw PPP loan. If you plan on requesting a loan forgiveness application, plan on submitting gross receipt documentation for second quarter 2019 and second quarter 2020 with the forgiveness application.

Illustrative Example 2: You are applying for \$300,000, were in operation all four quarters of 2019, and experienced a revenue reduction in annual receipts of 25 percent or greater in 2020 compared to 2019. You may be eligible, but you must submit your annual tax forms substantiating the revenue reduction.

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C-Corporation, S-Corporation



Note: All Payroll documents (Owner's Compensation, Employee Cash Compensation and Employee Non-Cash Compensation) must be from the same year either 2019 OR 2020. All documentation must cover the entire year with the exception of the quarterly Gross Receipts documents.¹

Entity Type		C-Corporation S-Corporation	<input type="checkbox"/>
Payroll	Owner Compensation	2019 OR 2020: 1. Third Party Payroll Processor Reports OR 2. Payroll tax filings (Form 941/944) AND State quarterly business and individual employee wage reporting and unemployment insurance tax filings	<input type="checkbox"/>
	Employee Cash Compensation	2019 OR 2020 broken out per employee: 1. Third Party Payroll Processor Reports OR 2. Payroll tax filings (Form 941/944) AND State quarterly business and individual employee wage reporting and unemployment insurance tax filings	<input type="checkbox"/>
	Employee Non-Cash Compensation	Examples of non-cash compensation are company-paid medical/dental/vision insurance, retirement contributions, etc. 2019 OR 2020: 1. Form 1120 or 1120-S OR 2. Records or statements from a. Retirement Administrator to document employer retirement contributions; AND/OR b. Health insurance company or third party administrator for a self-insured plan to document employer health insurance contributions	<input type="checkbox"/>
Gross Receipts (Required for Second Draw loans greater than \$150k only; For Second Draw loans \$150k or less, this documentation will be required at forgiveness)		For 2020 Quarter AND Reference Quarter: Form 1120/1120S for both 2019 and 2020 OR Quarterly financial statements for reference period and comparative period See affiliate rules	<input type="checkbox"/>
Proof of Operations on 2/15/2020		Payroll or similar document that the business was in operation and paying employees on 2/15/20	<input type="checkbox"/>

ATTENTION: If you are a first-time PPP borrower with Union Bank (i.e., First-Draw Loans, or Second-Draw Loans where the First-Draw was with another lender), there are additional documentation requirements on the following page.

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C-Corporation, S-Corporation

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Entity Type	C-Corporation S-Corporation	<input type="checkbox"/>
Good Standing	Web printout from Secretary of State providing company name, date filed, jurisdiction, and evidence of or "Good Standing" "Active" status	<input type="checkbox"/>
Governance	<ol style="list-style-type: none"> 1. Equivalent of annual report (e.g., Statement of Information) housed on Secretary of State indicating corporate officers OR 2. Minutes of the Board Meeting reflecting who is authorized to establish a business account with the bank 	<input type="checkbox"/>
DBA (If Applicable)	If entity is doing business under a different name (i.e., using a DBA): File-stamped business name registration with applicable county/ state (e.g., Fictitious Business Name Statement)	<input type="checkbox"/>
Franchise Business Name (If Applicable)	Franchise Agreement	<input type="checkbox"/>

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LLC Filing as Corporation

Note: All Payroll documents (Owner's Compensation, Employee Cash Compensation and Employee Non-Cash Compensation) must be from the same year either 2019 OR 2020. All documentation must cover the entire year with the exception of the quarterly Gross Receipts documents.¹

Entity Type		LLC filing as Corporation	<input type="checkbox"/>
Payroll	Owner Compensation	2019 OR 2020: 1. Third Party Payroll Processor Reports OR 2. Payroll tax filings (Form 941/944) AND State quarterly business and individual employee wage reporting and unemployment insurance tax filings	<input type="checkbox"/>
	Employee Cash Compensation	2019 OR 2020 broken out per employee: 1. Third Party Payroll Processor Reports OR 2. Payroll tax filings (Form 941/944) AND State quarterly business and individual employee wage reporting and unemployment insurance tax filings	<input type="checkbox"/>
	Employee Non-Cash Compensation	Examples of non-cash compensation are company-paid medical/dental/vision insurance, retirement contributions, etc. 2019 OR 2020: 1. Form 1120 or 1120-S OR 2. Records or statements from a. Retirement Administrator to document employer retirement contributions; AND/OR b. Health insurance company or third party administrator for a self-insured plan to document employer health insurance contributions	<input type="checkbox"/>
Gross Receipts (Required for Second Draw loans greater than \$150k only; For Second Draw loans \$150k or less, this documentation will be required at forgiveness)		For 2020 Quarter AND Reference Quarter: Form 1120/1120S for both 2019 and 2020 OR Quarterly financial statements for reference period and comparative period See affiliate rules	<input type="checkbox"/>
Proof of Operations on 2/15/2020		Payroll or similar document that the business was in operation and paying employees on 2/15/20	<input type="checkbox"/>

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Entity Type	LLC filing as Corporation	<input type="checkbox"/>
Good Standing	Web printout from Secretary of State providing company name, date filed, jurisdiction, and evidence of "Active" or "Good Standing" status	<input type="checkbox"/>
Governance	<ol style="list-style-type: none"> 1. Equivalent of annual report (e.g., LLC Statement of Information) housed on Secretary of State indicating corporate officers OR 2. Copy of specific pages from the Operating Agreement (title page, complete management section, signature page(s) of signing members, and any relevant exhibits/sections) <p>Note: If any managing member of the LLC is an entity rather than an individual, must provide documentation required for the applicable entity type.</p>	<input type="checkbox"/>
DBA (If Applicable)	If entity is doing business under a different name (i.e., using a DBA): File-stamped business name registration with applicable county/state (e.g., Fictitious Business Name Statement)	<input type="checkbox"/>
Franchise Business Name (If Applicable)	Franchise Agreement	<input type="checkbox"/>

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Sole Proprietor / Independent Contractors / Individual

Note: All Payroll documents (Owner's Compensation, Employee Cash Compensation and Employee Non-Cash Compensation) must be from the same year either 2019 OR 2020. All documentation must cover the entire year with the exception of the quarterly Gross Receipts documents.¹

Entity Type		Sole Proprietor / Independent Contractors / Individual	<input type="checkbox"/>
Payroll	Owner Compensation	2019 OR 2020: Form 1040 Schedule C (for all) 1099 MISC (for independent contractor only)	<input type="checkbox"/>
	Employee Cash Compensation (If Applicable)	2019 OR 2020 broken out per employee: 1. Third Party Payroll Processor Reports OR 2. Payroll tax filings (Form 941/944) AND State quarterly business and individual employee wage reporting and unemployment insurance tax filings	<input type="checkbox"/>
	Employee Non-Cash Compensation (If Applicable)	Examples of non-cash compensation are company-paid medical/dental/vision insurance, retirement contributions, etc. 2019 OR 2020: Records or statements from: 1. Retirement administrator to document employer retirement contributions; AND/OR 2. Health insurance company or third party administrator for a self-insured plan to document employer health insurance contributions	<input type="checkbox"/>
Gross Receipts (Required for Second Draw loans greater than \$150k only; For Second Draw loans \$150k or less, this documentation will be required at forgiveness)		<u>For 2020 Quarter AND Reference Quarter:</u> Form 1040 Schedule C for both 2019 and 2020 OR Quarterly financial statements for reference period and comparative period See affiliate rules	<input type="checkbox"/>
Proof of Operations on 2/15/2020		Payroll or similar document that the business was in operation and paying employees on 2/15/20	<input type="checkbox"/>

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Sole Proprietor, Independent Contractors, Individual

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Entity Type	Sole Proprietor / Independent Contractors / Individual	<input type="checkbox"/>
DBA (If Applicable)	<p>If the business name does not include the owner's surname or suggests the existence of additional owners:</p> <p>File-stamped business name registration with applicable county/state (e.g., Fictitious Business Name Statement)</p>	<input type="checkbox"/>
Franchise Business Name (If Applicable)	Franchise Agreement	<input type="checkbox"/>

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Single Member LLC

Note: All Payroll documents (Owner's Compensation, Employee Cash Compensation and Employee Non-Cash Compensation) must be from the same year either 2019 OR 2020. All documentation must cover the entire year with the exception of the quarterly Gross Receipts documents.¹

Entity Type		Single Member LLC	<input type="checkbox"/>
Payroll	Owner Compensation	2019 OR 2020: Form 1040 Schedule C	<input type="checkbox"/>
	Employee Cash Compensation	2019 OR 2020 broken out per employee: <ol style="list-style-type: none"> 1. Third Party Payroll Processor Reports OR 2. Payroll tax filings (Form 941/944) AND State quarterly business and individual employee wage reporting and unemployment insurance tax filings 	<input type="checkbox"/>
	Employee Non-Cash Compensation	Examples of non-cash compensation are company-paid medical/dental/vision insurance, retirement contributions, etc. 2019 OR 2020: Records or statements from: <ol style="list-style-type: none"> 1. Retirement administrator to document employer retirement contributions; AND/OR 2. Health insurance company or third party administrator for a self-insured plan to document employer health insurance contributions 	<input type="checkbox"/>
Gross Receipts (Required for Second Draw loans greater than \$150k only; For Second Draw loans \$150k or less, this documentation will be required at forgiveness)		For 2020 Quarter AND Reference Quarter: Form 1040 Schedule C for both 2019 and 2020 OR Quarterly financial statements for reference period and comparative period See affiliate rules	<input type="checkbox"/>
Proof of Operations on 2/15/2020		Payroll or similar document that the business was in operation and paying employees on 2/15/20	<input type="checkbox"/>

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Entity Type	Single Member LLC	<input type="checkbox"/>
Good Standing	Web printout from Secretary of State providing company name, date filed, jurisdiction, and evidence of "Active" or "Good Standing" status	<input type="checkbox"/>
Governance	<ol style="list-style-type: none"> 1. Equivalent of annual report (e.g., LLC Statement of Information) housed on Secretary of State indicating corporate officers OR 2. Copy of specific pages from the Operating Agreement (title page, complete management section, signature page(s) of signing members, and any relevant exhibits/sections) <p>Note: If any managing member of the LLC is an entity rather than an individual, must provide documentation required for the applicable entity type.</p>	<input type="checkbox"/>
DBA (If Applicable)	If entity is doing business under a different name (i.e., using a DBA): File-stamped business name registration with applicable county/state (e.g., Fictitious Business Name Statement)	<input type="checkbox"/>
Franchise Business Name (If Applicable)	Franchise Agreement	<input type="checkbox"/>

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General Partnership (GP)

Note: All Payroll documents (Owner's Compensation, Employee Cash Compensation and Employee Non-Cash Compensation) must be from the same year either 2019 OR 2020. All documentation must cover the entire year with the exception of the quarterly Gross Receipts documents.¹

Entity Type		General Partnership (GP)	<input type="checkbox"/>
Payroll	Owner Compensation	2019 OR 2020: Form 1065 including Schedule K-1s (for all partners)	<input type="checkbox"/>
	Employee Cash Compensation	2019 OR 2020 broken out per employee: 1. Third Party Payroll Processor Reports OR 2. Payroll tax filings (Form 941/944) AND State quarterly business and individual employee wage reporting and unemployment insurance tax filings	<input type="checkbox"/>
	Employee Non-Cash Compensation	Examples of non-cash compensation are company-paid medical/dental/vision insurance, retirement contributions, etc. 2019 OR 2020: Records or statements from: 1. Retirement administrator to document employer retirement contributions; AND/OR 2. Health insurance company or third party administrator for a self-insured plan to document employer health insurance contributions	<input type="checkbox"/>
Gross Receipts (Required for Second Draw loans greater than \$150k only; For Second Draw loans \$150k or less, this documentation will be required at forgiveness)		For 2020 Quarter AND Reference Quarter: Form 1065 for both 2019 and 2020 OR Quarterly financial statements for reference period and comparative period See affiliate rules	<input type="checkbox"/>
Proof of Operations on 2/15/2020		Payroll or similar document that the business was in operation and paying employees on 2/15/20	<input type="checkbox"/>

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General Partnership (GP)

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Entity Type	General Partnership	<input type="checkbox"/>
Governance	If any general partner is an entity, such as a corporation, LLC, etc., documentation is required for the entity as if setting up a new account for that entity.	<input type="checkbox"/>
DBA (If Applicable)	If surnames of all partners are not used in the business title, or title implies additional owners: File-stamped business name registration with applicable county/state (e.g., Fictitious Business Name Statement)	<input type="checkbox"/>
Franchise Business Name (If Applicable)	Franchise Agreement	<input type="checkbox"/>

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Limited Liability Partnership (LLP)

Note: All Payroll documents (Owner's Compensation, Employee Cash Compensation and Employee Non-Cash Compensation) must be from the same year either 2019 OR 2020. All documentation must cover the entire year with the exception of the quarterly Gross Receipts documents.¹

Entity Type		Limited Liability Partnership (LLP)	<input type="checkbox"/>
Payroll	Owner Compensation	2019 OR 2020: Form 1065 including Schedule K-1s (for all partners)	<input type="checkbox"/>
	Employee Cash Compensation (if applicable)	2019 OR 2020 broken out per employee: <ol style="list-style-type: none"> Third Party Payroll Processor Reports OR Payroll tax filings (Form 941/944) AND State quarterly business and individual employee wage reporting and unemployment insurance tax filings 	<input type="checkbox"/>
	Employee Non-Cash Compensation (if applicable)	Examples of non-cash compensation are company-paid medical/dental/vision insurance, retirement contributions, etc. 2019 OR 2020: Records or statements from: <ol style="list-style-type: none"> Retirement administrator to document employer retirement contributions; AND/OR Health insurance company or third party administrator for a self-insured plan to document employer health insurance contributions 	<input type="checkbox"/>
Gross Receipts (Required for Second Draw loans greater than \$150k only; For Second Draw loans \$150k or less, this documentation will be required at forgiveness)		<u>For 2020 Quarter AND Reference Quarter:</u> Form 1065 for both 2019 and 2020 OR Quarterly financial statements for reference period and comparative period See affiliate rules	<input type="checkbox"/>
Proof of Operations on 2/15/2020		Payroll or similar document that the business was in operation and paying employees on 2/15/20	<input type="checkbox"/>

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Entity Type	LLP	<input type="checkbox"/>
Good Standing	Web printout from Secretary of State providing company name, date filed, jurisdiction, and evidence of "Active" status OR File-stamped copy of LLP registration document	<input type="checkbox"/>
Governance	<ol style="list-style-type: none"> 1. LLP registration OR 2. If the customer has made any changes to the LLP and the web printout and/or file-stamped registration no longer correlates with the current set up of the entity file-stamped amendment forms. 	<input type="checkbox"/>
DBA (If Applicable)	If entity is doing business under a different name (i.e., using a DBA): File-stamped business name registration with applicable county/state (e.g., Fictitious Business Name Statement)	<input type="checkbox"/>
Franchise Business Name (If Applicable)	Franchise Agreement	<input type="checkbox"/>

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Limited Partnership (LP)

Note: All Payroll documents (Owner's Compensation, Employee Cash Compensation and Employee Non-Cash Compensation) must be from the same year either 2019 OR 2020. All documentation must cover the entire year with the exception of the quarterly Gross Receipts documents.¹

Entity Type		Limited Partnership (LP)	<input type="checkbox"/>
Payroll	Owner Compensation	2019 OR 2020: Form 1065 including Schedule K-1s (for all partners)	<input type="checkbox"/>
	Employee Cash Compensation (if applicable)	2019 OR 2020 broken out per employee: 1. Third Party Payroll Processor Reports OR 2. Payroll tax filings (Form 941/944) AND State quarterly business and individual employee wage reporting and unemployment insurance tax filings	<input type="checkbox"/>
	Employee Non-Cash Compensation (if applicable)	Examples of non-cash compensation are company-paid medical/dental/vision insurance, retirement contributions, etc. 2019 OR 2020: Records or statements from: 1. Retirement administrator to document employer retirement contributions; AND/OR 2. Health insurance company or third party administrator for a self-insured plan to document employer health insurance contributions	<input type="checkbox"/>
Gross Receipts (Required for Second Draw loans greater than \$150k only; For Second Draw loans \$150k or less, this documentation will be required at forgiveness)		For 2020 Quarter AND Reference Quarter: Form 1065 for both 2019 and 2020 OR Quarterly financial statements for reference period and comparative period See affiliate rules	<input type="checkbox"/>
Proof of Operations prior to 2/15/2020		Payroll or similar document that the business was in operation and paying employees on 2/15/20	<input type="checkbox"/>

ATTENTION: If you are a first-time PPP borrower with Union Bank (i.e., First Draw Loans, or Second Draw Loans where the First Draw was with another lender), there are additional documentation requirements on the following page.

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Limited Partnership (LP)

Note: The below documentation is only required for **first-time PPP borrowers with Union Bank** (i.e., First-Draw Loans, or Second-Draw Loans where the First-Draw was with another lender).¹

Entity Type	LP	<input type="checkbox"/>
Good Standing	Web printout from Secretary of State providing company name, date filed, jurisdiction, and evidence of "Active" or "Good Standing" status	<input type="checkbox"/>
Governance	<ol style="list-style-type: none"> 1. File-stamped copy of LP registration form OR 2. If changes made to LP and registration form or web printout no longer correlate with current set up of the entity, LP amendment forms <p>Note: If any general partner of the LP is an entity rather than an individual, must provide documentation required for the applicable entity type.</p>	<input type="checkbox"/>
DBA (If Applicable)	If entity is doing business under a different name (i.e., using a DBA): File-stamped business name registration with applicable county/state (e.g., Fictitious Business Name Statement)	<input type="checkbox"/>
Franchise Business Name (If Applicable)	Franchise Agreement	<input type="checkbox"/>

¹Union Bank is an SBA lender facilitating the PPP program on behalf of the SBA. As a borrower, it is your obligation to understand and comply with the eligibility requirements for the specified program. For the most recent details and official guidance, visit SBA.gov and Treasury.gov.

LLC filing as Partnership

Note: All Payroll documents (Owner's Compensation, Employee Cash Compensation and Employee Non-Cash Compensation) must be from the same year either 2019 OR 2020. All documentation must cover the entire year with the exception of the quarterly Gross Receipts documents.¹

Entity Type		LLC filing as Partnership	<input type="checkbox"/>
Payroll	Owner Compensation	2019 OR 2020: Form 1065 including Schedule K-1s (for all partners)	<input type="checkbox"/>
	Employee Cash Compensation (if applicable)	2019 OR 2020 broken out per employee: <ol style="list-style-type: none"> 1. Third Party Payroll Processor Reports OR 2. Payroll tax filings (Form 941/944) AND State quarterly business and individual employee wage reporting and unemployment insurance tax filings 	<input type="checkbox"/>
	Employee Non-Cash Compensation (if applicable)	Examples of non-cash compensation are company-paid medical/dental/vision insurance, retirement contributions, etc. 2019 OR 2020: Records or statements from: <ol style="list-style-type: none"> 1. Retirement administrator to document employer retirement contributions; AND/OR 2. Health insurance company or third party administrator for a self-insured plan to document employer health insurance contributions 	<input type="checkbox"/>
Gross Receipts (Required for Second Draw loans greater than \$150k only; For Second Draw loans \$150k or less, this documentation will be required at forgiveness)		For 2020 Quarter AND Reference Quarter: Form 1065 for both 2019 and 2020 OR Quarterly financial statements for reference period and comparative period See affiliate rules	<input type="checkbox"/>
Proof of Operations on 2/15/2020		Payroll or similar document that the business was in operation and paying employees on 2/15/20	<input type="checkbox"/>

ATTENTION: If you are a first-time PPP borrower with Union Bank (i.e., First Draw Loans, or Second Draw Loans where the First Draw was with another lender), there are additional documentation requirements on the following page.

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LLC filing as Partnership

Note: The below documentation is only required for **first-time PPP borrowers with Union Bank** (i.e., First-Draw Loans, or Second-Draw Loans where the First-Draw was with another lender).¹

Entity Type	LLC Filing as Partnership	<input type="checkbox"/>
Good Standing	Web printout from Secretary of State providing company name, date filed, jurisdiction, and evidence of "Active" or "Good Standing" status	<input type="checkbox"/>
Governance	<ol style="list-style-type: none"> 1. Equivalent of annual report (e.g., LLC Statement of Information) housed on Secretary of State indicating corporate officers OR 2. Copy of specific pages from the Operating Agreement (title page, complete management section, signature page(s) of signing members, and any relevant exhibits/sections) <p>Note: If any managing member of the LLC is an entity rather than an individual, must provide documentation required for the applicable entity type.</p>	<input type="checkbox"/>
DBA (If Applicable)	If entity is doing business under a different name (i.e., using a DBA): File-stamped business name registration with applicable county/state (e.g., Fictitious Business Name Statement)	<input type="checkbox"/>
Franchise Business Name (If Applicable)	Franchise Agreement	<input type="checkbox"/>

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Non-Profit Corporation

Note: All Payroll documents (Owner's Compensation, Employee Cash Compensation and Employee Non-Cash Compensation) must be from the same year either 2019 OR 2020. All documentation must cover the entire year with the exception of the quarterly Gross Receipts documents.¹

Entity Type		Non-Profit Corporation	<input type="checkbox"/>
Payroll	Owner Compensation	N/A	<input type="checkbox"/>
	Employee Cash Compensation	2019 OR 2020 broken out per employee: <ol style="list-style-type: none"> 1. Third Party Payroll Processor Reports OR 2. Payroll tax filings (Form 941/944) AND State quarterly business and individual employee wage reporting and unemployment insurance tax filings 	<input type="checkbox"/>
	Employee Non-Cash Compensation	Examples of non-cash compensation are company-paid medical/dental/vision insurance, retirement contributions, etc. 2019 OR 2020: <ol style="list-style-type: none"> 1. Form 990 OR 2. Records or statements from <ol style="list-style-type: none"> a. Retirement administrator to document employer retirement contributions; AND/OR b. Health insurance company or third party administrator for a self-insured plan to document employer health insurance contributions 	<input type="checkbox"/>
Gross Receipts (Required for Second Draw loans greater than \$150k only; For Second Draw loans \$150k or less, this documentation will be required at forgiveness)		For 2020 Quarter AND Reference Quarter: Form 990/990-EZ for both 2019 and 2020 OR Quarterly financial statements for reference period and comparative period See affiliate rules	<input type="checkbox"/>
Proof of Operations on 2/15/2020		Payroll or similar document that the business was in operation and paying employees on 2/15/20	<input type="checkbox"/>

ATTENTION: If you are a first-time PPP borrower with Union Bank (i.e., First Draw Loans, or Second Draw Loans where the First Draw was with another lender), there are additional documentation requirements on the following page.

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Non-Profit Corporation

Note: The below documentation is only required for **first-time PPP borrowers with Union Bank** (i.e., First-Draw Loans, or Second-Draw Loans where the First-Draw was with another lender).¹

Entity Type	Non-Profit Corporation	<input type="checkbox"/>
Good Standing	Web printout from Secretary of State providing company name, date filed, jurisdiction, and evidence of "Active" status	<input type="checkbox"/>
Governance (If Applicable)	<ol style="list-style-type: none"> 1. Equivalent of annual report (e.g., Statement of Information) housed on Secretary of State indicating corporate officers OR 2. Minutes of the Board Meeting reflecting who is authorized to establish a business account with the bank OR <p>Note: If the organization's governing document requires a written resolution to open an account, then a certified copy of the organization's resolution is required.</p>	<input type="checkbox"/>
DBA (If Applicable)	If entity is doing business under a different name (i.e., using a DBA): File-stamped business name registration with applicable county/state (e.g., Fictitious Business Name Statement)	<input type="checkbox"/>
Franchise Business Name (If Applicable)	Franchise Agreement	<input type="checkbox"/>
501(c)(3) (If Applicable)	<ol style="list-style-type: none"> 1. Copy of 501(c)(3) determination letter issued by Internal Revenue Service (IRS) OR 2. Printout from an acceptable tax-exempt site: www.guidestar.org www.charitynavigator.org www.taxexemptworld.com 	<input type="checkbox"/>

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Non-Profit Unincorporated Association

Note: All Payroll documents (Owner's Compensation, Employee Cash Compensation and Employee Non-Cash Compensation) must be from the same year either 2019 OR 2020. All documentation must cover the entire year with the exception of the quarterly Gross Receipts documents.¹

Entity Type		Non-Profit Unincorporated Association	<input type="checkbox"/>
Payroll	Owner Compensation	N/A	<input type="checkbox"/>
	Employee Cash Compensation	2019 OR 2020 broken out per employee: <ol style="list-style-type: none"> 1. Third Party Payroll Processor Reports OR 2. Payroll tax filings (Form 941/944) AND State quarterly business and individual employee wage reporting and unemployment insurance tax filings 	<input type="checkbox"/>
	Employee Non-Cash Compensation	Examples of non-cash compensation are company-paid medical/dental/vision insurance, retirement contributions, etc. 2019 OR 2020: <ol style="list-style-type: none"> 1. Form 990 OR 2. Records or statements from <ol style="list-style-type: none"> a. Retirement administrator to document employer retirement contributions; AND/OR b. Health insurance company or third party administrator for a self-insured plan to document employer health insurance contributions 	<input type="checkbox"/>
Gross Receipts (Required for Second Draw loans greater than \$150k only; For Second Draw loans \$150k or less, this documentation will be required at forgiveness)		For 2020 Quarter AND Reference Quarter: Form 990/990-EZ for both 2019 and 2020 OR Quarterly financial statements for reference period and comparative period See affiliate rules	<input type="checkbox"/>
Proof of Operations prior to 2/15/2020		Payroll or similar document that the business was in operation and paying employees on 2/15/20	<input type="checkbox"/>

ATTENTION: If you are a first-time PPP borrower with Union Bank (i.e., First Draw Loans, or Second Draw Loans where the First Draw was with another lender), there are additional documentation requirements on the following page.

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Non-Profit Unincorporated Association

Note: The below documentation is only required for **first-time PPP borrowers with Union Bank** (i.e., First-Draw Loans, or Second-Draw Loans where the First-Draw was with another lender).¹

Entity Type	Non-Profit Unincorporated Association	<input type="checkbox"/>
Governance (If Applicable)	<ol style="list-style-type: none"> Articles of Association OR A letter or meeting minutes written by an organization (President/Treasurer/Secretary) listing and identifying the Association or Organization and contracting officers/authorized signers confirming that the organization exists and that the individuals requesting the PPP loan are authorized to do so on its behalf 	<input type="checkbox"/>
DBA (If Applicable)	If entity is doing business under a different name (i.e., using a DBA): File-stamped business name registration with applicable county/state (e.g., Fictitious Business Name Statement)	<input type="checkbox"/>
Franchise Business Name (If Applicable)	Franchise Agreement	<input type="checkbox"/>
501(c)(3) (If Applicable)	<ol style="list-style-type: none"> Copy of 501(c)(3) determination letter issued by Internal Revenue Service (IRS) OR Printout from an acceptable tax exempt site: www.guidestar.org www.charitynavigator.org www.taxexemptworld.com 	<input type="checkbox"/>

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Non-Profit LLC

Note: All Payroll documents (Owner's Compensation, Employee Cash Compensation and Employee Non-Cash Compensation) must be from the same year either 2019 OR 2020. All documentation must cover the entire year with the exception of the quarterly Gross Receipts documents.¹

Entity Type		Non-Profit LLC	<input type="checkbox"/>
Payroll	Owner Compensation	N/A	<input type="checkbox"/>
	Employee Cash Compensation	2019 OR 2020 broken out per employee: <ol style="list-style-type: none"> 1. Third Party Payroll Processor Reports OR 2. Payroll tax filings (Form 941/944) AND State quarterly business and individual employee wage reporting and unemployment insurance tax filings 	<input type="checkbox"/>
	Employee Non-Cash Compensation	Examples of non-cash compensation are company-paid medical/dental/vision insurance, retirement contributions, etc. 2019 OR 2020: <ol style="list-style-type: none"> 1. Form 990 OR 2. Records or statements from <ol style="list-style-type: none"> a. Retirement administrator to document employer retirement contributions; AND/OR b. Health insurance company or third party administrator for a self-insured plan to document employer health insurance contributions 	<input type="checkbox"/>
Gross Receipts (Required for Second Draw loans greater than \$150k only; For Second Draw loans \$150k or less, this documentation will be required at forgiveness)		<u>For 2020 Quarter AND Reference Quarter:</u> Form 990/990-EZ for both 2019 and 2020 OR Quarterly financial statements for reference period and comparative period See affiliate rules	<input type="checkbox"/>
Proof of Operations on 2/15/2020		Payroll or similar document that the business was in operation and paying employees on 2/15/20	<input type="checkbox"/>

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Non-Profit LLC

Note: The below documentation is only required for **first-time PPP borrowers with Union Bank** (i.e., First-Draw Loans, or Second-Draw Loans where the First-Draw was with another lender).¹

Entity Type	Non-Profit LLC	<input type="checkbox"/>
Good Standing	Web printout from Secretary of State providing company name, date filed, jurisdiction, and evidence of "Active" or "Good Standing" status	<input type="checkbox"/>
Governance	<ol style="list-style-type: none"> 1. Equivalent of annual report (e.g., LLC Statement of Information) housed on Secretary of State indicating corporate officers OR 2. Copy of specific pages from the Operating Agreement (title page, complete management section, signature page(s) of signing members, and any relevant exhibits/sections) <p>Note: If any managing member of the LLC is an entity rather than an individual, must provide documentation required for the applicable entity type.</p>	<input type="checkbox"/>
DBA (If Applicable)	If entity is doing business under a different name (i.e., using a DBA): File-stamped business name registration with applicable county/state (e.g., Fictitious Business Name Statement)	<input type="checkbox"/>
Franchise Business Name (If Applicable)	Franchise Agreement	<input type="checkbox"/>
501(c)(3) (If Applicable)	<ol style="list-style-type: none"> 1. Copy of 501(c)(3) determination letter issued by Internal Revenue Service (IRS) OR 2. Printout from an acceptable tax exempt site: www.guidestar.org www.charitynavigator.org www.taxexemptworld.com 	<input type="checkbox"/>

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Non-Profit Trust

Note: All Payroll documents (Owner’s Compensation, Employee Cash Compensation and Employee Non-Cash Compensation) must be from the same year either 2019 OR 2020. All documentation must cover the entire year with the exception of the quarterly Gross Receipts documents.¹

Entity Type		Non-Profit Trust	<input type="checkbox"/>
Payroll	Owner Compensation	N/A	<input type="checkbox"/>
	Employee Cash Compensation	2019 OR 2020 broken out per employee: <ol style="list-style-type: none"> 1. Third Party Payroll Processor Reports OR 2. Payroll tax filings (Form 941/944) AND State quarterly business and individual employee wage reporting and unemployment insurance tax filings 	<input type="checkbox"/>
	Employee Non-Cash Compensation	Examples of non-cash compensation are company-paid medical/dental/vision insurance, retirement contributions, etc. 2019 OR 2020: <ol style="list-style-type: none"> 1. Form 990 OR 2. Records or statements from: <ol style="list-style-type: none"> a. Retirement administrator to document employer retirement contributions; AND/OR b. Health insurance company or third party administrator for a self-insured plan to document employer health insurance contributions 	<input type="checkbox"/>
Gross Receipts (Required for Second Draw loans greater than \$150k only; For Second Draw loans \$150k or less, this documentation will be required at forgiveness)		<u>For 2020 Quarter AND Reference Quarter:</u> Form 990/990-EZ for both 2019 and 2020 OR Quarterly financial statements for reference period and comparative period See affiliate rules	<input type="checkbox"/>
Proof of Operations on 2/15/2020		Payroll or similar document that the business was in operation and paying employees on 2/15/20	<input type="checkbox"/>

ATTENTION: If you are a first-time PPP borrower with Union Bank (i.e., First Draw Loans, or Second Draw Loans where the First Draw was with another lender), there are additional documentation requirements on the following page.

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Non-Profit Trust

Note: The below documentation is only required for **first-time PPP borrowers with Union Bank** (i.e., First-Draw Loans, or Second-Draw Loans where the First-Draw was with another lender).¹

Entity Type	Non-Profit Trust	<input type="checkbox"/>
Governance	<ol style="list-style-type: none"> 1. Union Bank's Trust Certification (Form 01887) OR <ol style="list-style-type: none"> 1. Non-Union Bank Trust Certification (or "Certificate of Trust," or "Abstract of Trust," or similarly named document but not a trust instrument such as a declaration of trust) bearing the signature of each currently acting trustee of the trust <p>Note: It is recommended to use Union Bank's Trust Certification</p>	<input type="checkbox"/>
DBA (If Applicable)	<p>If entity is doing business under a different name (i.e., using a DBA):</p> <ol style="list-style-type: none"> 1. File-stamped business name registration with applicable county/state (e.g., Fictitious Business Name Statement) 	<input type="checkbox"/>
501(c)(3) (If Applicable)	<ol style="list-style-type: none"> 1. Copy of 501(c)(3) determination letter issued by Internal Revenue Service (IRS) OR 2. Printout from an acceptable tax exempt site: www.guidestar.org www.charitynavigator.org www.taxexemptworld.com 	<input type="checkbox"/>

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Farming: Independent Contractors / Individual, Sole Proprietors

Note: All Payroll documents (Owner's Compensation, Employee Cash Compensation and Employee Non-Cash Compensation) must be from the same year either 2019 OR 2020. All documentation must cover the entire year with the exception of the quarterly Gross Receipts documents.¹

Entity Type		Farming: Independent Contractors Farming: Individual Farming: Sole Proprietors	<input type="checkbox"/>
Payroll	Owner Compensation	2019 OR 2020: Form 1040 Schedule F (for all) 1099 MISC (for independent contractor only)	<input type="checkbox"/>
	Employee Cash Compensation (If applicable)	2019 OR 2020 broken out per employee: 1. Third Party Payroll Processor Reports OR 2. Payroll tax filings (Form 941/943) AND State quarterly business and individual employee wage reporting and unemployment insurance tax filings for all 4 quarters	<input type="checkbox"/>
	Employee Non-Cash Compensation (If applicable)	Examples of non-cash compensation are company-paid medical/dental/vision insurance, retirement contributions, etc. 2019 OR 2020: Records or statements from: 1. Retirement administrator to document employer retirement contributions; AND/OR 2. Health insurance company or third party administrator for a self-insured plan to document employer health insurance contributions	<input type="checkbox"/>
Gross Receipts (Required for Second Draw loans greater than \$150k only; For Second Draw loans \$150k or less, this documentation will be required at forgiveness)		For 2020 Quarter AND Reference Quarter: Form 1040 Schedule F for both 2019 and 2020 OR Quarterly financial statements for reference period and comparative period See affiliate rules	<input type="checkbox"/>
Proof of Operations on 2/15/2020		Payroll or similar document that the business was in operation and paying employees on 2/15/20	<input type="checkbox"/>

ATTENTION: If you are a first-time PPP borrower with Union Bank (i.e., First Draw Loans, or Second Draw Loans where the First Draw was with another lender), there are additional documentation requirements on the following page.

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Farming: Independent Contractors, Individual, Sole Proprietors

Note: The below documentation is only required for **first-time PPP borrowers with Union Bank** (i.e., First-Draw Loans, or Second-Draw Loans where the First-Draw was with another lender).¹

Entity Type	Farming: Independent Contractors Farming: Individual Farming: Sole Proprietors	<input type="checkbox"/>
DBA (If Applicable)	If the business name does not include the owner's surname or suggests the existence of additional owners: File-stamped business name registration with applicable county/state (e.g., Fictitious Business Name Statement)	<input type="checkbox"/>
Franchise Business Name (If Applicable)	Franchise Agreement	<input type="checkbox"/>

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Farming: Single Member LLC

Note: All Payroll documents (Owner's Compensation, Employee Cash Compensation and Employee Non-Cash Compensation) must be from the same year either 2019 OR 2020. All documentation must cover the entire year with the exception of the quarterly Gross Receipts documents.¹

Entity Type		Farming Single Member LLC	<input type="checkbox"/>
Payroll	Owner Compensation	2019 OR 2020: Form 1040 Schedule F & Schedule 1 (for all)	<input type="checkbox"/>
	Employee Cash Compensation (If applicable)	2019 OR 2020 broken out per employee: 1. Third Party Payroll Processor Reports OR 2. Payroll tax filings (Form 941/943) AND State quarterly business and individual employee wage reporting and unemployment insurance tax filings for all 4 quarters	<input type="checkbox"/>
	Employee Non-Cash Compensation (If applicable)	Examples of non-cash compensation are company-paid medical/dental/vision insurance, retirement contributions, etc. 2019 OR 2020: Records or statements from: 1. Retirement administrator to document employer retirement contributions; AND/OR 2. Health insurance company or third party administrator for a self-insured plan to document employer health insurance contributions	<input type="checkbox"/>
Gross Receipts (Required for Second Draw loans greater than \$150k only; For Second Draw loans \$150k or less, this documentation will be required at forgiveness)		For 2020 Quarter AND Reference Quarter: Form 1040 Schedule F for both 2019 and 2020 OR Quarterly financial statements for reference period and comparative period See affiliate rules	<input type="checkbox"/>
Proof of Operations on 2/15/2020		Payroll or similar document that the business was in operation and paying employees on 2/15/20	<input type="checkbox"/>

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Farming: Single Member LLC

Note: The below documentation is only required for **first-time PPP borrowers with Union Bank** (i.e., First-Draw Loans, or Second-Draw Loans where the First-Draw was with another lender).¹

Entity Type	Farming: Single Member LLC	<input type="checkbox"/>
Good Standing	Web printout from Secretary of State providing company name, date filed, jurisdiction, and evidence of "Active" or "Good Standing" status	<input type="checkbox"/>
Governance	<ol style="list-style-type: none"> 1. Equivalent of annual report (e.g., LLC Statement of Information) housed on Secretary of State indicating corporate officers OR 2. Copy of specific pages from the Operating Agreement (title page, complete management section, signature page(s) of signing members, and any relevant exhibits/sections) <p>Note: If any managing member of the LLC is an entity rather than an individual, must provide documentation required for the applicable entity type.</p>	<input type="checkbox"/>
DBA (If Applicable)	If entity is doing business under a different name (i.e., using a DBA): File-stamped business name registration with applicable county/state (e.g., Fictitious Business Name Statement)	<input type="checkbox"/>
Franchise Business Name (If Applicable)	Franchise Agreement	<input type="checkbox"/>

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