

**PART XIII: CORPORATE DISCLOSURE FORM**

**TENNESSEE HOUSING DEVELOPMENT AGENCY**

**ESG PROGRAM DISCLOSURE AND CERTIFICATION**

The undersigned, in order to participate in the ESG Program operated by the Tennessee Housing Development Agency, supplies the following information and certifies to the accuracy of such information.

Please be advised that disclosure does not automatically bring denial of participation. However, failure to provide a completed disclosure of unfavorable information or providing false information on this form can be grounds for denial of participation and can subject the individual signing such form to criminal sanctions under state law. All questions are to be answered to the best of signatory's knowledge with no requirement to investigate.

- 1.  I, or any entity with which I am or have been affiliated in an ownership or decision making capacity, **have never** been convicted of a felony in Tennessee or any other state; OR
  
- I, or any entity with which I am or have been affiliated in an ownership or decision making capacity, **have been** convicted of a felony in Tennessee or in another state. The details of which are as follows:

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- 2.  I, or any entity with which I am or have been affiliated in an ownership or decision making capacity, **have never** been fined, suspended, debarred nor been the subject of a disciplinary investigation by a federal agency (includes FHA, VA, FDIC, USDA/RD (formerly FmHA), IRS, etc.) involving financial or housing activities; OR

- I, or any entity with which I am or have been affiliated in an ownership or decision making capacity, **have** been fined, suspended, debarred nor been the subject of a disciplinary investigation by a federal agency (includes FHA, VA, FDIC, USDA/RD (formerly FmHA), IRS, etc.) involving financial or housing activities to the best of my knowledge except:

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- 3.  I, or any entity with which I am or have been affiliated in an ownership or decision making capacity, **have not** filed for bankruptcy or reorganization at the present time; OR to the best of my knowledge except: (If such a filing has happened within seven (7) years please explain:

- I, or any entity with which I am or have been affiliated in an ownership or decision making capacity, **am in or have** filed for bankruptcy or reorganization at the present time (or within seven years) and the details are as follows:

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4.  I, or any entity with which I am or have been affiliated in an ownership or decision making capacity, hold the following licenses from a state regulatory authority. Please provide license numbers and identify state.

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5.  I, or any entity with which I am or have been affiliated in an ownership or decision making capacity **have never** had (a) license issued by a state regulatory authority suspended or (b) been the subject of a disciplinary investigation by THDA or any other state regulatory authority; OR

I, or any entity with which I am or have been affiliated in an ownership or decision making capacity **have had** (a) license issued by a state regulatory authority suspended or (b) been the subject of a disciplinary investigation by THDA or any other state regulatory authority; OR

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Corporation: \_\_\_\_\_

BY: \_\_\_\_\_

Typed or Printed Name \_\_\_\_\_

Title: \_\_\_\_\_ Date: \_\_\_\_\_

In order to protect the integrity of Agency programs, the Agency Board hereby adopts a policy that those receiving money directly from contracts or administering contracts involving money will be required to file a disclosure form at the time that an application is filed and which will be updated when money is disbursed. The form will ask for information about activities which could be considered criminal in nature; activities which could show financial instability; or activities which have brought disciplinary action by a governmental regulatory agency.

The disclosure form will be applicable to the various grant programs such as ESG, HOME, NSP, the Low Income Housing Tax Credit program and other programs administered by the Agency's Community Programs Division. Individuals applying for single family home loans or to be landlords or tenants in the rental assistance program already make disclosures to meet federal requirements. Originating Agents and Servicing Agents have contracts which serve to protect the Agency's position.

These forms should be filed by affected individuals, and decision makers for entities other than individuals when the Agency is supplying \$20,000 or more to the recipient. Decision makers would include senior management and/or board members. Government officials do not have to fill out disclosure forms. Non-profit organizations which already must file accountings and other types of disclosure can submit a request for waiver upon a showing of comparable disclosure to another oversight agency. Such waiver requests will be considered by the Audit and Budget Committee of the Agency.