



ATTACHMENT 5 Legal Status Questionnaire

APPLICANT'S DISCLOSURE

1. Financial Viability

Disclose material information relating to any legal or regulatory proceeding or investigation in which the applicant/borrower/developer/project sponsor is or has been a party and which might have a material impact on the financial viability of the project or the applicant/borrower/developer/project sponsor. Such disclosures should include any parent, subsidiary, or affiliate of the applicant/borrower/developer/project sponsor that is involved in the management, operation, or development of the project.

2. Fraud, Corruption, or Serious Harm

Disclose any civil, criminal, or regulatory action in which the applicant/borrower/developer/project sponsor, or any current board members (not including volunteer board members of non-profit entities), partners, limited liability corporation members, senior officers, or senior management personnel has been named a defendant in such action in the past ten years involving fraud or corruption, matters related to employment conditions (including, but not limited to wage claims, discrimination, or harassment), or matters involving health and safety where there are allegations of serious harm to employees, the public or the environment.

Disclosures should include civil or criminal cases filed in state or federal court; civil or criminal investigations by local, state, or federal law enforcement authorities; and enforcement proceedings or investigations by local, state or federal regulatory agencies. The information provided must include relevant dates, the nature of the allegation(s), charges, complaint or filing, and the outcome.

I/We attest that we have provided full disclosure as indicated in response to the items #1 and #2 above.

☐ **Nothing to Disclose**

Name of Applicant /
Developer / General Partner: _____

(Please Print)

Signature: _____

(Applicant / Developer / General Partner)

Name of Signatory: _____

(Please Print)

Title of Signatory: _____

(Please Print)

Date: _____