



Maryland Biotechnology Investment Incentive Tax Credit
 Application for Certification for FY 2023
 Form A - Investor
 This application must be submitted online
 in order to participate in the electronic queue registration.

Form A

General Information

Are you an: Individual Investor Corporation Investor (All Kinds Including Sub-Chapter S) Non Sub-Chapter S Corporation Pass-Through Entities

Note: Any certificate issued by Commerce will use the applicant type and name as listed in this application. Therefore, you must select the appropriate applicant type and name that will be investing under the Biotechnology Investment Incentive Tax Credit when completing this application.

**** 1. Full Legal Name of Organization**

***2. Email Address** ***3. Federal Tax Identification Number**

***4. Legal Form of Entity** C Corporation S Corporation Other:

***5. Primary Contact Person** ***Title**

***Business Phone** ***Phone**

***Email**

6. Secondary Contact Person **Title**

Business Phone **Phone**

Email

7. Business Address **City**

State **Zip**

Business Phone

If the address is in a different country, place the entire address in the Address field, select "Foreign State" in the State field, and 00000 in the zip field

***8. Investment Amount** ***Your investment will be made in:** Cash Convertible Note

Note: Investment includes a convertible debt created by the qualified investor applying for the tax credit within 1 year prior to the date that the qualified investor submit this application. The convertible debt instrument should not be converted into an equity interest until Commerce issues the Initial Certificate of Eligibility.

A qualified investor may not include a founder or current employee if the biotechnology company has been in active business for more than five years. For the definitions of founder and current employee, review the FAQs located [here](#).

- *9. Are you a founder of the biotechnology company, or related to the founder in a relationship described under IRC 267(b)?** Yes No
- *10. Are you currently working, or have worked for the past year, for the biotechnology company?** Yes No
- *11. Are you related to an individual in senior management for the biotechnology company in a relationship described under IRC 267(b)?** Yes No

Note: A qualified investor may not include a founder or current employee if the biotechnology company has been in active business for more than five years. For the definitions of founder and current employee, review the FAQs located [here](#).

***12. Form A can only be submitted if the biotechnology company has submitted the Form B. The Form B application must be submitted before your investor application may be submitted.**
 Please type the first three letters of the Biotechnology Company that you plan on investing in, and then select the company that you wish to invest in. If no company shows up, then please verify the company name and submission of the Form B with the biotechnology company.

Type first 3 letters of biotechnology company:

Please Save Often

You are missing a required answer. You can still save, but you will be unable to submit until every field is filled.

Attachments

Additional documents may be uploaded for each question.

*13.1 A **certified** copy of organization's articles of incorporation, or other organizing documents.

Insert additional document

*13.2 A Certificate of Status issued by the Maryland State Department of Assessments and Taxation (SDAT) issued within the last 30 days. An SDAT Certificate of Status may be requested [here](#). For foreign entities, a current certificate of status from the state/jurisdiction of organization.

Insert additional document

*13.3 The names and business addresses of all officers and directors.

Insert additional document

*13.4 The name, address and percentage of ownership of each of the corporation's shareholders who hold shares of any class of the company. You must disclose all current owners including the names of any individual owners of any privately-held entity that is a direct or indirect owner of the investor company. You must list their full and legal names. The total percentage must equal 100%.

Insert additional document

Please Save Often

Additional Information

* 14.1 Has the Applicant, or any partner, director, officer, member, or principal stockholder been convicted of a criminal offense other than a traffic violation? Yes No

* 14.2 Has the Applicant, or any partner, director, officer, member, or principal stockholder been a debtor in bankruptcy or insolvency proceedings? Yes No

* 14.3 Has the Applicant, or any partner, director, officer, member, or principal stockholder been a party to any litigation in the past two years? Yes No

* 14.4 Does the Applicant, or any partner, director, officer, member, or principal stockholder owe any outstanding judgments? Yes No

* 14.5 Does the Applicant, or any partner, director, officer, member, or principal stockholder owe any delinquent taxes? Yes No

* Are there any other relevant information or documentation you would like to add to support this application? Yes No

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*15. Provide the percentage of ownership in the proposed Qualified Maryland Biotechnology Company.

- *Before the proposed acquisition of ownership
- *After the proposed acquisition of ownership

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Statistical Information

This form is for gathering statistical data only. This form will be separated from the application and the information provided in it will not be a part of the application approval process. Furnishing this information is voluntary; failure to do so will have no effect on the approval of the requested financial assistance.

If the applicant will be providing the requested financial assistance to another recipient (e.g. a facility user or borrower), "Respondent" should be the recipient of the financial assistance.

Is Respondent the: Applicant and/or Recipient (or Facility User) Respondent does not wish to furnish this information

Respondent is: a business organization an individual
 publicly held entity or other organization not classifiable as owned by individuals of a particular gender, race, ethnicity, or veteran status.

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Affidavit

Under penalties of perjury, I declare that I have examined this application, and to the best of my knowledge and belief, it is true, correct, and accurately lists the amount of investments during the tax year. I certify that after making the investment I will be the direct owner of the investment and no portion of the funds used to make the investment were derived, directly or indirectly, from the QMBC/Company or any owner of the QMBC/Company.

*Signature: *Title:
(Signatory's Email if not the contact:)

You are missing either the affirm box or the signature and Title. You can still save, but you will not be able to submit until all of the required fields are filled properly.

Please Save Often

The Submit button will only become available once all of the required fields are filled properly

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