

Form RD 3560-31  
(02-05)

FORM APPROVED  
OMB NO. 0575-0189

UNITED STATES DEPARTMENT OF AGRICULTURE  
RURAL DEVELOPMENT  
RURAL HOUSING SERVICE  
IDENTITY OF INTEREST DISCLOSURE/QUALIFICATION CERTIFICATE

SECTION I: TO BE COMPLETED BY ALL APPLICANTS/BORROWERS	
Applicant/Borrower Name: <b>(1)</b>	Project Name: <b>(2)</b>
	Location: (Town, Country, State) <b>(2)</b>

IDENTITY OF INTEREST STATEMENT

An Identity of Interest occurs:

- (1) When there is any financial interest between the applicant/borrower and/or management entity and the supplying entity.
- (2) When one or more of the officers, directors, stockholders or partners of the applicant/borrower or management entity is also an officer, director, stockholder, or partner of the supplying entity.
- (3) When any officer, director, stockholder, or partner of the applicant/borrower and/or management entity has 10 percent or more financial interest in the supplying entity.
- (4) When the supplying entity advances any funds to the applicant/borrower and/or management entity.
- (5) When the supplying entity provides or pays on behalf of the applicant/borrower and/or management entity the cost of any materials and/or services in connection with obligations under the management plan/management agreement.
- (6) When the supplying entity takes stock or any interest in the applicant/borrower and/or management entity as part of the consideration to be paid then.
- (7) When there exists or comes into being any side deals, agreements, contracts or understandings entered into thereby altering, amending, or cancelling any of the management plan/management agreement documents, organization documents or other legal documents pertaining to the property, except as approved by the Agency.

I, **(3)** (please print name), hereby certify that I have read the identity of interest statement above and understand what the USDA, Rural Development, Rural Housing Service (herein referred to as the Agency), has determined constitutes an identity of interest. I further certify that an identity of interest relationship exists and hereby disclose on the following page(s) of this qualification form those entities with which I HAVE an identity of interest relationship.

I hereby certify, under penalty of law\*, and with knowledge that this information may be verified, that the information submitted is true and accurate. I further understand that failure to disclose any identity of interest to the Agency will also subject me to any administrative remedies available to the Agency. Such remedies may include suspension and debarment from participating in any Agency or Federal program.

I further understand and agree that I will update this Disclosure/Qualification Certificate if my circumstances change, and I agree to provide a new Disclosure/Qualification Certificate at any time requested by the Agency. **(4)**

This Certification shall be in effect for a period of three years beginning on the \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

**(5)**

Applicant/Borrower Signature

**\*Warning:** Section 1001 of Title 18, United States Code provides, "Whoever, in any matter within the jurisdiction of the executive, legislative, or judicial branch of the Government of the United States, knowingly and willfully falsifies, conceals, or covers up by any trick, scheme, or device a material fact, makes any materially false, fictitious, or fraudulent statement or representation, or makes or uses any false writing or document knowing the same to contain any materially false, fictitious, or fraudulent statement or entry shall be fined under this title or imprisoned not more than 5 years, or both."

According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0575-0189. The time required to complete this information collection is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

To be used for Multi-Family Housing Loans to record the qualifications of Identity of Interest (IOI) entities.

(see reverse)

PROCEDURE FOR PREPARATION : 7 CFR part 3560, HB-1-3560 and HB-3-3560.

PREPARED BY : Principal for trades or businesses with Identities of Interest relationships with RHS applicants/borrowers.

NUMBER OF COPIES : Original and two copies.

SIGNATURES REQUIRED : Identity of Interest Entity Principal.

DISTRIBUTION OF COPIES : Original to Servicing Official, copy to Borrower, copy to each IOI entity.

**PAGE 2 OF FORM RD 3560-31**

IDENTITY OF INTEREST QUALIFICATION

SECTION II: TO BE COMPLETED BY THE PRINCIPAL FOR EACH BUSINESS OR TRADE WITH AN IDENTITY OF INTEREST (IOI) RELATIONSHIP WITH A CONTRACTING ENTITY. Use additional sheets for each IOI entity, if necessary.

IOI Entity Name: (6)  
Type of Entity: Contractor  Subcontractor  Architect  Attorney  Property Management   
Trade or Business: (7)  
Supplier of: Material  Labor  Both  Service   
Describe IOI Entity's Relationship to Applicant/Borrower: \_\_\_\_\_  
Address: (7)  
Telephone Number: (7)  
Taxpayer Identification Number: (7)  
Number of Full-time Employees: (7) Part-time: (7) Years in Business: (7)  
Personnel (those responsible for completion of the contracted work): (8)  
Principal of IOI Entity: (9) Address: (9)  
Home Telephone Number: (9)  
Social Security Number: (9)  
Years in Business: (7)  
Training: (7)  
License(s) Held (include license numbers): (7)  
Name, Address and Telephone Number of Licensing Agencies: (10)  
Percent of Total Annual Compensation from Company: (11) %  
Disclose any criminal convictions or debarment from Local, State, or Federal Government Programs: (12)  
Disclose Any Current or Pending Legal Actions Against the Company or any of its Principals: (12)

Do any of the IOI companies function as "pass-throughs," i.e., does the IOI company purchase goods or services from another party and pass those goods or services through to the project? For each pass-through arrangement, respond to the statements below. (Use additional sheets as necessary.)

Name the IOI company involved.  
Explain how the IOI compensation is determined.  
Explain why it is more advantageous for the project to use the pass-through arrangement than to purchase directly from the ultimate supplier.

Attach fee schedules for all IOI companies disclosed.

I certify, under penalty of law\*, that the business in which I am employed is an ongoing trade or business qualified and properly licensed to undertake the work for which I intend to contract. I further certify, under penalty of law\*, and with knowledge that this information may be verified, that the information submitted is true and accurate.

(15)

(Signature)  
IOI Entity Principal

\_\_\_\_\_  
Date

**\*Warning:** Section 1001 of Title 18, United States Code provides, "Whoever, in any matter within the jurisdiction of the executive, legislative, or judicial branch of the Government of the United States, knowingly and willfully falsifies, conceals, or covers up by any trick, scheme, or device a material fact, makes any materially false, fictitious, or fraudulent statement or representation, or makes or uses any false writing or document knowing the same to contain any materially false, fictitious, or fraudulent statement or entry shall be fined under this title or imprisoned not more than 5 years, or both."

**INSTRUCTIONS FOR PREPARATION**

- Item 1        Insert loan applicant/borrower name.
- Item 2        Information on applicant/borrower project.
- Item 3        Print applicant/borrower name.
- Item 4        Insert date executed by applicant/borrower.
- Item 5        Signature of applicant/borrower.
- Item 6        Insert name of entity that has IOI with loan applicant, e.g., contractor, subcontractor, supplier, or management agent.
- Item 7        Information on entity listed in Item 6.
- Item 8        Superintendent, management agent of entity listed in Item 6.
- Item 9        Information on principal of entity listed in Item 6.
- Item 10       Insert name of Agency which issues licenses to persons listed in Item 9.
- Item 11       Insert percent of compensation received by person listed in Item 9.
- Item 12       Information by person listed in Item 9.
- Item 13       Information on companies listed in Item 6.
- Item 14       Attach fee schedule for all companies listed in Item 6.
- Item 15       Signature of IOI entity principal.