



PART IV - FORMS



PART IV. FORMS

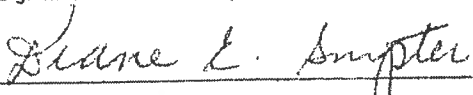
This section contains the forms listed below. The original copy of all forms being submitted is marked "ORIGINAL". One copy of all forms has been signed by Diane E. Sumpter, President/CEO of DESA, Inc. For the CD-346, "Applicant for Funding Assistance," the additional individuals signing a copy of the form are listed below.

- 1.0 OMB Standard Form 424, "Application for Federal Assistance"
- 2.0 OMB Standard Form 424A, "Budget Information – Non-Construction Programs"
- 3.0 OMB Standard Form 424B, "Assurances – Non-Construction Programs"
- 4.0 OMB Standard Form LLL, "Disclosure of Lobbying Activities"
- 5.0 CD-346, "Applicant for Funding Assistance"
 - 5.1 Diane E. Sumpter
 - 5.2 Greg Davis
 - 5.3 Margaret Lattimore
 - 5.4 Anthony Washington
- 6.0 CD-511, "Certifications Regarding Debarment, Suspension and Other Responsibility Matters; Drug-Free Workplace Requirements and Lobbying"



OMB Standard Form 424 “Application for Federal Assistance”

APPLICATION FOR FEDERAL ASSISTANCE

1. TYPE OF SUBMISSION Application <input type="checkbox"/> Construction <input checked="" type="checkbox"/> Non-Construction Pre-Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		2. DATE SUBMITTED September 20, 2006	Applicant Identifier
		3. DATE RECEIVED BY STATE	State Application Identifier
		4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier
5. APPLICANT INFORMATION			
Legal Name: DESA, Inc.		Organizational Unit: N/A	
Address (give city, county, state, and zip code): 400 Percival Road Columbia, SC 29260 Richland County		Name and telephone number of the person to be contacted on matters involving application (give area code) Diane E. Sumpter, (803) 743-1124	
6. EMPLOYER IDENTIFICATION NUMBER (EIN): <div style="background-color: black; width: 100%; height: 20px;"></div>		7. TYPE OF APPLICANT: (enter appropriate letter in box) <div style="text-align: right; border: 1px solid black; width: 30px; height: 20px; display: inline-block; margin-left: auto;">M</div>	
8. TYPE OF APPLICATION: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration Other (specify):		A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District H. independent School Dist. I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (Specify) _____	
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: <div style="display: flex; justify-content: space-around; align-items: center;"> <div style="border: 1px solid black; padding: 2px 5px;">1</div> <div style="border: 1px solid black; padding: 2px 5px;">1</div> <div style="margin: 0 10px;">--</div> <div style="border: 1px solid black; padding: 2px 5px;">8</div> <div style="border: 1px solid black; padding: 2px 5px;">0</div> <div style="border: 1px solid black; padding: 2px 5px;">0</div> </div> TITLE:		9. NAME OF FEDERAL AGENCY: United States Department of Commerce Minority Business Development Agency	
12. AREAS AFFECTED BY PROJECT (cities, countries, states, etc.) Cities: All cities in South Carolina Counties: All counties in South Carolina State: South Carolina		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: South Carolina Minority Business Enterprise Center	
13. PROPOSED PROJECT:		14. CONGRESSIONAL DISTRICTS OF:	
Start Date 1/1/07	Ending Date 12/31/07	a. Applicant 2nd Congressional District	b. Project All Congressional District S.C.
15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?	
a. Federal	721,797.00	a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____	
b. Applicant	12,350.00	b. NO. <input checked="" type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
c. State		17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?	
d. Local		<input type="checkbox"/> Yes If "Yes," attach an explanation. <input checked="" type="checkbox"/> No	
e. Other			
f. Program Income	168,250.00		
g. TOTAL	902,397.00		
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.			
a. Typed Name of Authorized Representative Diane E. Sumpter		b. Title President/CEO	c. Telephone Number (803) 743-1124
d. Signature of Authorized Representative 		e. Date Signed	

(b)(4)

APPLICATION FOR FEDERAL ASSISTANCE

2. DATE SUBMITTED September 20, 2006	Applicant Identifier
3. DATE RECEIVED BY STATE	State Application Identifier
4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier

1. TYPE OF SUBMISSION Application <input type="checkbox"/> Construction <input checked="" type="checkbox"/> Non-Construction	Pre-Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction
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5. APPLICANT INFORMATION

Legal Name: DESA, Inc.	Organizational Unit: N/A
Address (give city, county, state, and zip code): 400 Percival Road Columbia, SC 29260 Richland County	Name and telephone number of the person to be contacted on matters involving application (give area code) Diane E. Sumpter, (803) 743-1124

6. EMPLOYER IDENTIFICATION NUMBER (EIN):

(b)(4)

7. TYPE OF APPLICANT: (enter appropriate letter in box)

M

A. State	H. Independent School Dist.
B. County	I. State Controlled Institution of Higher Learning
C. Municipal	J. Private University
D. Township	K. Indian Tribe
E. Interstate	L. Individual
F. Intermunicipal	M. Profit Organization
G. Special District	N. Other (Specify) _____

8. TYPE OF APPLICATION:

New Continuation Revision

If Revision, enter appropriate letter(s) in box(es):

A. Increase Award B. Decrease Award C. Increase Duration
D. Decrease Duration Other (specify): _____

9. NAME OF FEDERAL AGENCY:

United States Department of Commerce
Minority Business Development Agency

10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:

-

TITLE:

11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:

South Carolina
Minority Business Enterprise Center

12. AREAS AFFECTED BY PROJECT (cities, countries, states, etc.)

Cities: All cities in South Carolina
Counties: All counties in South Carolina
State: South Carolina

13. PROPOSED PROJECT:	14. CONGRESSIONAL DISTRICTS OF:
Start Date: 1/1/07 Ending Date: 12/31/07	a. Applicant: 2nd Congressional District b. Project: All Congressional District S.C.

15. ESTIMATED FUNDING:

a. Federal	721,797.00
b. Applicant	12,350.00
c. State	
d. Local	
e. Other	
f. Program Income	168,250.00
g. TOTAL	902,397.00

16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?

a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____

b. NO. PROGRAM IS NOT COVERED BY E.O. 12372
 OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW

17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?

Yes If "Yes," attach an explanation. No

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.

a. Typed Name of Authorized Representative Diane E. Sumpter	b. Title President/CEO	c. Telephone Number (803) 743-1124
d. Signature of Authorized Representative 		e. Date Signed



**OMB Standard Form 424A
“Budget Information –
Non-Construction Programs”**

YEAR 1 BUDGET INFORMATION-Non-Construction Programs

SECTION A-BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		Total (g)
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	
1. MBDC	11.800	\$	\$	\$ 240,599.00	\$ 60,200.00	\$ 300,799.00
2.						
3.						
4.						
5. Totals		\$	\$	\$ 240,599.00	\$ 60,200.00	\$ 300,799.00

SECTION B-BUDGET CATEGORIES

6. Object Class Categories	GRANT PROGRAM OR ACTIVITY				Total (5)
	(1) Federal	(2) Non Federal	(3)	(4)	
a. Personnel	\$ 109,696.00	\$ 23,028.00	\$	\$	\$ 132,724.00
b. Fringe Benefits	0.00	0.00			0.00
c. Travel	7,820.00	5,690.00			13,510.00
d. Equipment	0.00	0.00			0.00
e. Supplies	2,181.00	0.00			2,181.00
f. Contractual	0.00	0.00			0.00
g. Construction	0.00	0.00			0.00
h. Other (Includes Fee)	54,511.00	13,992.00			68,503.00
i. Total Direct Charges (sum of 6a-6h)	174,208.00	42,710.00			216,918.00
j. Indirect Charges	66,391.00	17,490.00			83,881.00
k. TOTALS (sum of 6i and 6j)	\$ 240,599.00	\$ 60,200.00	\$	\$	\$ 300,799.00
7. Program Income	\$	\$	\$	\$	\$

SECTION C-NON-FEDERAL RESOURCES

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8. Cash Contributions	\$	\$	\$	\$
9. Client Fees			55,650.00	55,650.00
10. Non Cash Contributions	4,550.00			4,550.00
12. TOTAL (Sum of lines 8-11)	\$ 4,550.00	\$	\$ 55,650.00	\$ 60,200.00

SECTION D - FORECASTED CASH NEEDS

	SECTION D - FORECASTED CASH NEEDS				
	Total for 1 st Year	1 st Quarter	2 nd Quarter	3 rd Quarter	4 th Quarter
13. Federal	\$ 240,599.00	\$ 60,149.75	\$ 60,149.75	\$ 60,149.75	\$ 60,149.75
14. Non-Federal	60,200.00	15,050.00	15,050.00	15,050.00	15,050.00
15. Total (sum of lines 13 and 14)	\$ 300,799.00	\$ 75,199.75	\$ 75,199.75	\$ 75,199.75	\$ 75,199.75

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

(a) Grant Programs	FUTURE FUNDING PERIODS (Years)				
	(b) First	(c) Second	(d) Third	(e) Fourth	
16.	\$	\$	\$	\$	
17.					
18.					
19.					
20. Total (sum of lines 16-19)	\$	\$	\$	\$	\$

SECTION F - OTHER BUDGET INFORMATION

21. Direct Charges	22. Indirect Charges: Includes Fringes, G&A and Overhead charges
23. Remarks:	

YEAR 2 BUDGET INFORMATION-Non-Construction Programs

SECTION A-BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		Total (g)
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	
1. MBDC	11.800	\$	\$	\$ 240,599.00	\$ 60,200.00	\$ 300,799.00
2.						
3.						
4.						
5. Totals		\$	\$	\$ 240,599.00	\$ 60,200.00	\$ 300,799.00

SECTION B-BUDGET CATEGORIES

6. Object Class Categories	GRANT PROGRAM OR ACTIVITY				Total (5)
	(1) Federal	(2) Non Federal	(3)	(4)	
a. Personnel	\$ 110,825.00	24,902.00	\$	\$	\$ 135,727.00
b. Fringe Benefits	0.00	0.00			0.00
c. Travel	8,018.00	8,580.00			16,598.00
d. Equipment	0.00	0.00			0.00
e. Supplies	2,240.00	0.00			2,240.00
f. Contractual	0.00	0.00			0.00
g. Construction	0.00	0.00			0.00
h. Other (Includes Fee)	53,125.00	9,228.00			62,353.00
i. Total Direct Charges (sum of 6a-6h)	174,208.00	42,710.00			216,918.00
j. Indirect Charges	66,391.00	17,490.00			83,881.00
k. TOTALS (sum of 6i and 6j)	\$ 240,599.00	\$ 60,200.00	\$	\$	\$ 300,799.00
7. Program Income	\$	\$	\$	\$	\$

SECTION C-NON-FEDERAL RESOURCES

	(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8.	Cash Contributions	\$	\$	\$	\$
9.	Client Fees			56,300.00	56,300.00
10.	Non Cash Contributions	3,900.00			3,900.00
12.	TOTAL (Sum of lines 8-11)	\$ 3,900.00	\$	\$ 56,300.00	\$ 60,200.00

SECTION D - FORECASTED CASH NEEDS

	Total for 1 st Year	1 st Quarter	2 nd Quarter	3 rd Quarter	4 th Quarter	
13.	Federal	\$ 240,599.00	\$ 60,149.75	\$ 60,149.75	\$ 60,149.75	\$ 60,149.75
14.	Non-Federal	60,200.00	15,050.00	15,050.00	15,050.00	15,050.00
15.	Total (sum of lines 13 and 14)	\$ 300,799.00	\$ 75,199.75	\$ 75,199.75	\$ 75,199.75	\$ 75,199.75

SECTION E- BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

	(a) Grant Programs	FUTURE FUNDING PERIODS (Years)			
		(b) First	(c) Second	(d) Third	(e) Fourth
16.		\$	\$	\$	\$
17.					
18.					
19.					
20.	Total (sum of lines 16-19)	\$	\$	\$	\$

SECTION F - OTHER BUDGET INFORMATION

21. Direct Charges

22. Indirect Charges: Fringes, G&A and Overhead charges

23. Remarks:

YEAR 3 BUDGET INFORMATION-Non-Construction Programs

SECTION A-BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		Total (g)
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	
1. MBDC	11,800	\$	\$	\$ 240,599.00	\$ 60,200.00	\$ 300,799.00
2.						
3.						
4.						
5. Totals		\$	\$	\$ 240,599.00	\$ 60,200.00	\$ 300,799.00

SECTION B-BUDGET CATEGORIES

6. Object Class Categories	GRANT PROGRAM OR ACTIVITY					Total (5)
	(1) Federal	(2) Non Federal	(3)	(4)		
a. Personnel	\$ 113,768.00	\$ 25,062.00		\$	\$	\$ 138,830.00
b. Fringe Benefits						
c. Travel	0.00	0.00				0.00
d. Equipment	8,018.00	8,580.00				16,598.00
e. Supplies	1,439.00	0.00				1,439.00
f. Contractual	0.00	0.00				0.00
g. Construction	0.00	0.00				0.00
h. Other (Includes Fee)	50,983.00	9,068.00				60,051.00
i. Total Direct Charges (sum of 6a-6h)	174,208.00	42,710.00				216,918.00
j. Indirect Charges	66,391.00	17,490.00				83,881.00
k. TOTALS (sum of 6i and 6j)	\$ 240,599.00	\$ 60,200.00	\$	\$	\$	\$ 300,799.00
7. Program Income	\$	\$	\$	\$	\$	\$

SECTION C-NON-FEDERAL RESOURCES

	(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8. Cash Contributions	\$	\$	\$	\$	\$
9. Client Fees				56,300.00	56,300.00
10. Non Cash Contributions		3,900.00			3,900.00
12. TOTAL (Sum of lines 8-11)		\$ 3,900.00	\$	\$ 56,300.00	\$ 60,200.00

SECTION D - FORECASTED CASH NEEDS

	Total for 1 st Year		1 st Quarter	2 nd Quarter	3 rd Quarter	4 th Quarter
	13. Federal	\$	240,599.00	\$ 60,149.75	\$ 60,149.75	\$ 60,149.75
14. Non-Federal		60,200.00	15,050.00	15,050.00	15,050.00	15,050.00
15. Total (sum of lines 13 and 14)	\$	300,799.00	\$ 75,199.75	\$ 75,199.75	\$ 75,199.75	\$ 75,199.75

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

(a) Grant Programs	FUTURE FUNDING PERIODS (Years)				
	(b) First	(c) Second	(d) Third	(e) Fourth	
16.	\$	\$	\$	\$	\$
17.					
18.					
19.					
20. Total (sum of lines 16-19)	\$	\$	\$	\$	\$

SECTION F - OTHER BUDGET INFORMATION

21. Direct Charges	22. Indirect Charges: Fringes, G&A and Overhead charges
23. Remarks:	



**OMB Standard Form 424B
“Assurances –
Non-Construction Programs”**

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, AAudits of States, Local Governments, and Non-Profit Organizations.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL. <i>Diane E. Sumpter</i> Diane E. Sumpter	TITLE President
APPLICANT ORGANIZATION DESA Inc.	



OMB Standard Form LLL “Disclosure of Lobbying Activities”

PRIVACY ACT ADVISORY STATEMENT

The Privacy Act of 1974 (P.L. 93-479) requires that you be given certain information in connection with: (a) The request for information solicited on Form CD-346; or (b) The request for your Social Security Number. Accordingly, pursuant to the requirements of the Act, please be advised:

THE AUTHORITY FOR THE COLLECTION OF THIS DATA IS: 42 USC 3211(12); as well as the responsibilities cited in the Inspector General Act of 1978, Sec. 4(a)(3)

THE PRINCIPAL PURPOSE(S) FOR WHICH THE DATA WILL BE USED IS:

Information is used to establish good character of principal officers and employees of organizations, firms or recipients or beneficiaries of grants, loans, or loan guarantee programs that may receive grants, loans, or guarantees from the U.S. Department of Commerce.

YOUR SOCIAL SECURITY NUMBER IS VOLUNTARY DATA. BUT PROVIDING YOUR SOCIAL SECURITY NUMBER MAY REDUCE DELAYS IN THE REVIEW PROCESS.

QUESTION 11 CONTINUATION:

PREFATORY STATEMENT OF GENERAL ROUTINE USES

The following routine uses apply to, and are incorporated by reference into, each system of records set forth below:

1. In the event that a system of records maintained by the department to carry out its functions indicates a violation or potential violation of law or contract, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute or contract, or rule, regulation, or order issued pursuant thereto, or the necessity to protect an interest of the Department, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute or contract, or rule, regulation or order issued pursuant thereto, or protecting the interest of the Department.
2. A record from this system of records may be disclosed, as a routine use, to a Federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses if necessary to obtain information relevant to a Department decision concerning the hiring or retention of an individual, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.
3. A record from this system may be disclosed, as a routine use, to a Federal, state, or local, or international agency, in response to its request, in connection with the assignment, hiring or retention of an individual, the issuance of a security clearance, the reporting of an investigation of an individual, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.
4. A record from this system of records may be disclosed, as a routine use in the course of presenting evidence to a court, magistrate or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
5. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual when the individual has requested assistance from the Member with respect to the subject matter of the record.
6. A record in this system of records which contains medical information may be disclosed, as a routine use, to the medical advisor of any individual submitting a request for access to the record under the Act and 15 CFR Part 4b if, in the sole judgement of the Department, disclosure could have an adverse effect upon the individual, under the provision of 5 U.S.C. 552a(f) (3) and implementing regulations at 15 CFR 4b.6.
7. Deleted, Reserved.
8. A record in this system of records may be disclosed, as a routine use, to the Office of Management and Budget in connection with the review of private relief legislation as set forth in OMB Circular No. A-19 at any state of the legislative coordination and clearance process as set forth in that Circular.
9. A record in this system may be disclosed, as a routine use, to the Department of Justice in connection with determining whether disclosure thereof is required by the Freedom of Information Act 5 U.S.C. 552.
10. A record from this system of records may be disclosed, as a routine use, to a contractor of the Department having need for the information in the performance of the contract, but not operating a system of records within the meaning of 5 U.S.C. 552a(m).
11. Deleted, Reserved.
12. A record in this system may be transferred, as a routine use, to the Office of Personnel Management for personnel research purposes; as a data source for management information; for the production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained; or for related man-power studies.
13. A record in this system of records may be disclosed, as a routine use, to the Archivist of the United States, National Archives & Records Administration (NARA), or his designee, during an inspection of records conducted by NARA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the NARA regulations governing inspection of records for this purpose, and other relevant (i.e., NARA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.

Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.

The public reporting burden for this collection is estimated to average 15 minutes 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. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to: Office of Inspector General, Department of Commerce, 1401 Constitution Avenue, NW, Washington, DC 20230.



Form CD-346
“Applicant for Funding Assistance”

FORM CD-346
(REV. 08-03)
DAO 207-10

U.S. DEPARTMENT OF COMMERCE

DO NOT COMPLETE THIS SECTION

APPLICANT FOR FUNDING ASSISTANCE

DATE OF REQUEST

- NAME CHECK
 IDENTIFICATION CHECK

INSTRUCTIONS: Please type or print clearly. Information below will be used for investigation of named person's or firm's character and/or integrity. In answer to question 11 below, the fact that you may have a conviction record or have criminal charges pending against you will not necessarily disqualify you. An incorrect answer may cause your application to be turned down. Please read Privacy Act Advisory Statement on reverse of form.

1. NAME OF APPLICANT (If no middle name use (NMN). Also list former names used).				5. NAME AND ADDRESS OF FIRM (Post Office Box is not sufficient)	
LAST	FIRST	MIDDLE	MAIDEN	DESA, Inc.	
SUMPTER	DIANE	NMN	EARLY	400 PERCIVAL RD COLUMBIA, SC 29206-5121	
SPOUSE				6. PHONE NUMBER OF FIRM	7. REGIONAL OFFICE
N/A				803-743-1124	N/A
2. DATE OF BIRTH		3. SOCIAL SECURITY NUMBER (Voluntary)		8. U.S. CITIZEN?	
[REDACTED]		[REDACTED]		[REDACTED] (If no, give alien registration number)	
4. PLACE OF BIRTH					
JACKSONVILLE, FL					

9. EMPLOYMENT (Last 3 years)

FROM	TO	EMPLOYER NAME AND COMPLETE ADDRESS
[REDACTED]	PRESENT	DESA, Inc., 400 PERCIVAL RD, COLUMBIA, SC 29206-5121

All redactions pursuant to
FOIA exemption (b)(6)

10. RESIDENCE (Last 3 years)

FROM	TO	COMPLETE ADDRESS
[REDACTED]	PRESENT	[REDACTED]

11. HAVE YOU EVER BEEN CONVICTED OF A CRIMINAL OFFENSE OR ARE CRIMINAL CHARGES PENDING AGAINST YOU? (You may omit minor traffic violations for which you forfeited \$50.00 or less).

[REDACTED] (If yes, please furnish details on the reverse side of this form).

12. RESULTS OF CHECK (Government Use Only)

With knowledge of 18 U.S.C. 1001 and 42 U.S.C. 3220 which provide for criminal penalties for the making of false statements, the undersigned hereby certifies that the above information is correct.

SIGNATURE	DATE
<i>Diane E. Sumpter</i>	09/18/2006

FORM CD-346
(REV. 08-03)
DAO 207-10

U.S. DEPARTMENT OF COMMERCE

DO NOT COMPLETE THIS SECTION

APPLICANT FOR FUNDING ASSISTANCE

DATE OF REQUEST

- NAME CHECK
- IDENTIFICATION CHECK

INSTRUCTIONS: Please type or print clearly. Information below will be used for investigation of named person's or firm's character and/or integrity. In answer to question 11 below, the fact that you may have a conviction record or have criminal charges pending against you will not necessarily disqualify you. An incorrect answer may cause your application to be turned down. Please read Privacy Act Advisory Statement on reverse of form.

1. NAME OF APPLICANT (If no middle name use (NMN). Also list former names used).

LAST	FIRST	MIDDLE	MAIDEN
Lattimore	Margaret	McCollis	Long

SPOUSE

5. NAME AND ADDRESS OF FIRM (Post Office Box is not sufficient)

DESA, Inc.
400 PERCIVAL RD
COLUMBIA, SC 29206-5121

6. PHONE NUMBER OF FIRM
803-743-1124

7. REGIONAL OFFICE
N/A

2. DATE OF BIRTH

3. SOCIAL SECURITY NUMBER (Voluntary)

8. U.S. CITIZEN?

(If no, give alien registration number)

4. PLACE OF BIRTH

TRENTON, NJ

9. EMPLOYMENT (Last 3 years)

FROM	TO	EMPLOYER NAME AND COMPLETE ADDRESS
	PRESENT	DESA, Inc., 400 PERCIVAL RD, COLUMBIA, SC 29206-5121

All redactions pursuant to FOIA exemption (b)(6)

10. RESIDENCE (Last 3 years)

FROM	TO	COMPLETE ADDRESS
	PRESENT	

11. HAVE YOU EVER BEEN CONVICTED OF A CRIMINAL OFFENSE OR ARE CRIMINAL CHARGES PENDING AGAINST YOU? (You may omit minor traffic violations for which you forfeited \$50.00 or less)

(If yes, please furnish details on the reverse side of this form)

12. RESULTS OF CHECK (Government Use Only)

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SIGNATURE

Margaret L Lattimore

DATE

09/18/2006

FORM CD-346
(REV. 08-03)
DAC 207-10

U.S. DEPARTMENT OF COMMERCE

DO NOT COMPLETE THIS SECTION

APPLICANT FOR FUNDING ASSISTANCE

DATE OF REQUEST

- NAME CHECK
 IDENTIFICATION CHECK

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1. NAME OF APPLICANT (If no middle name use (NMN). Also list former names used).				5. NAME AND ADDRESS OF FIRM (Post Office Box is not sufficient)	
LAST	FIRST	MIDDLE	MAIDEN	DESA, Inc. 400 Percival Road Columbia, SC 29206	
Davis	Gregory	Quintin			
SPOUSE				6. PHONE NUMBER OF FIRM	7. REGIONAL OFFICE
[REDACTED]				803-743-1124	
2. DATE OF BIRTH		3. SOCIAL SECURITY NUMBER (Voluntary)		8. U.S. CITIZEN?	
[REDACTED]		[REDACTED]		[REDACTED] (If no, give alien registration number)	
4. PLACE OF BIRTH					
Sumter, SC USA					

9. EMPLOYMENT (Last 3 years)

FROM	TO	EMPLOYER NAME AND COMPLETE ADDRESS
[REDACTED]	Present	DESA, Inc. - 400 Percival Road - Columbia, SC 29206

All redactions pursuant to FOIA exemption (b)(6)

10. RESIDENCE (Last 3 years)

FROM	TO	COMPLETE ADDRESS
[REDACTED]	Present	[REDACTED]

11. HAVE YOU EVER BEEN CONVICTED OF A CRIMINAL OFFENSE OR ARE CRIMINAL CHARGES PENDING AGAINST YOU? (You may omit minor traffic violations for which you forfeited \$50.00 or less).

[REDACTED] (If yes, please furnish details on the reverse side of this form)

12. RESULTS OF CHECK (Government Use Only)

With knowledge of 18 U.S.C. 1001 and 42 U.S.C. 3220 which provide for criminal penalties for the making of false statements, the undersigned hereby certifies that the above information is correct.

SIGNATURE	DATE
<i>Megay Davis</i>	09-15-2006

FORM CD-346
(REV. 08-03)
DAO 207-10

U.S. DEPARTMENT OF COMMERCE

DO NOT COMPLETE THIS SECTION

APPLICANT FOR FUNDING ASSISTANCE

DATE OF REQUEST

- NAME CHECK
 IDENTIFICATION CHECK

INSTRUCTIONS: Please type or print clearly. Information below will be used for investigation of named person's or firm's character and/or integrity. In answer to question 11 below, the fact that you may have a conviction record or have criminal charges pending against you will not necessarily disqualify you. An incorrect answer may cause your application to be turned down. Please read Privacy Act Advisory Statement on reverse of form

1. NAME OF APPLICANT (If no middle name use (NMN). Also list former names used).

LAST	FIRST	MIDDLE	MAIDEN
Washington	Anthony	Marx	

5. NAME AND ADDRESS OF FIRM (Post Office Box is not sufficient)

DESA, Inc.
400 Percival Road
Columbia, SC 29206

SPOUSE

[Redacted]

6. PHONE NUMBER OF FIRM
803-743-1124

7. REGIONAL OFFICE

2. DATE OF BIRTH

[Redacted]

3 SOCIAL SECURITY NUMBER (Voluntary)

[Redacted]

8. U.S. CITIZEN?

[Redacted]

(If no, give alien registration number)

4. PLACE OF BIRTH

Charleston, South Carolina

9. EMPLOYMENT (Last 3 years)

FROM	TO	EMPLOYER NAME AND COMPLETE ADDRESS
[Redacted]	present	DESA, Inc. 400 Percival Road, Columbia, SC 29206

All redactions pursuant to
FOIA exemption (b)(6)

10. RESIDENCE (Last 3 years)

FROM	TO	COMPLETE ADDRESS
[Redacted]	present	[Redacted]

11. HAVE YOU EVER BEEN CONVICTED OF A CRIMINAL OFFENSE OR ARE CRIMINAL CHARGES PENDING AGAINST YOU? (You may omit minor traffic violations for which you forfeited \$50.00 or less).

[Redacted] (If yes, please furnish details on the reverse side of this form).

12. RESULTS OF CHECK (Government Use Only)

With knowledge of 18 U.S.C. 1001 and 42 U.S.C 3220 which provide for criminal penalties for the making of false statements, the undersigned hereby certifies that the above information is correct

SIGNATURE *Anthony Washington*

DATE 9/18/06



Form CD-511
**“Certifications Regarding Debarment,
Suspension and Other Responsibility
Matters; Drug-Free Workplace**

CERTIFICATIONS REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; DRUG-FREE WORKPLACE REQUIREMENTS AND LOBBYING

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature on this form provides for compliance with certification requirements under 15 CFR Part 26, "Governmentwide Debarment and Suspension (Nonprocurement)" and Governmentwide requirements for Drug-Free Workplace" and 15 CFR Part 28, "New Restrictions on Lobbying." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Commerce determines to award the covered transaction, grant or cooperative agreement.

1. DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

As required by Executive Order 12549, Debarment and Suspension, and implemented at 15 CFR Part 26, for prospective participants in primary covered transactions, as defined at 15 CFR Part 26, Sections 26.105 and 26.110 -

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1) (b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

2. DRUG-FREE WORKPLACE REQUIREMENTS Alternate 1. Grantee Other Than Individuals

As required by the Drug-Free Workplace Act of 1988, and implemented at 15 CFR Part 26, Subpart F, for grantees, as defined at 15 CFR Part 26, Sections 26.605 and 26.610 -

A. The grantee certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's

workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about-

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that as a condition of employment under the grant, the employee will -

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to the Director, Office of Federal Assistance, Office of Federal Assistance and Management Support, HCHB Room 6054, U.S. Department of Commerce, Washington, DC 20230. Notice shall include the identification numbers(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with the respect to any employee who is so convicted-

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended;

or

(2) requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a),(b),(c),(d),(e), and (f).

B. The grantee shall insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance. (Street address, city, county, state, ZIP code):

1515 Richland Street
Columbia, SC 29201

Check if there are workplaces on file that are not identified here.

Alternate II. Grantees Who Are Individuals

As required by the Drug-Free Workplace Act of 1988, and implemented at 15 CFR 26, Subpart F, for grantees, as defined at 15 CFR Part 26, Sections 26.605 and 26.610 -

(A) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity within the grant;

(B) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days, of the conviction, to the director, Office of Federal Assistance, Office of Federal Assistance and Management Support, HCHB Room 6054, U.S. Department of Commerce, Washington, DC 20230. When the notice is made to such a central point, it shall include the identification number(s) of each affected grant.

3. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 15 CFR Part 28, for Persons entering into a grant, cooperative agreement or contract over \$100,000, or loan or loan guarantee over \$150,000, as defined at 15 CFR Part 28, Sections 28.105 and 28.110, the applicant certifies that to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee

of Congress, or an employee of a member of Congress in connection with the awarding of any Federal contract, the making of any federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of Congress, or an employee of a member of Congress in connection with this Federal contract, loan, or cooperative agreement, the undersigned shall complete and submit standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above applicable certification(s).

NAME OF APPLICANT

DESA, Inc.

AWARD NUMBER AND/OR PROJECT NAME

PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

Diane E. Sumpter, President/CEO

SIGNATURE

Diane E. Sumpter

DATE

September 20, 2006