DAPSI-SME-CHECKLIST

30/03/2021

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| **SMEs CHECK LIST** |

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| Organisation legal name |  | |
| Is your organisation engaged in (an) economic activit(y)ies[[1]](#endnote-1)? ***(Yes or No)*** | |  |

**If NO, you are not an SME. If YES, go to the next set of questions.**

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| What is for your last approved accounting period: | |
| Your number of employees? *(****in annual working unit****)* |  |
| Your turnover? *(****in €****)* |  |
| Your annual balance sheet total? *(****in €)*** |  |
| The duration *(****in months****)* of your last approved accounting period |  |
| The closing date *(****dd/mm/yyyy****)* of your last approved accounting period |  |
| **Name and signature of the authorised legal representative** |  |

Official exchange rate at the day of the closure of the accounting period (http://ec.europa.eu/budget/inforeuro)

**If your number of employees is equal or superior to 250 persons (AWU) and your annual turnover is equal or exceeds EUR 50 million and/or your annual balance sheet total is equal or exceeds EUR 43 million, you are not an SME.**

**If you are under all these ceilings, go to the next set of questions (1 and 2).**

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| **1 – Does your organisation meet the following situations (1/2):** |

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| **1.1 Linked enterprises** | ***Upstream*** | An enterprise has a majority of the shareholders' or members' voting rights in you organisation ; and or has the right to appoint or remove a majority of the members of the administrative, management or supervisory body of your organisation ; and or has the right to exercise a dominant influence over your organisation pursuant to a contract entered into with you or to a provision in your memorandum or articles of association ; and or an enterprise, which is a shareholder in or a member of your organisation, controls alone, pursuant to an agreement with other shareholders in or members of your organisation, a majority of shareholders' or members' voting rights in your organisation ***[Yes or No]*** |  |
| If yes, please provide the legal name of this (these) enterprise(s) and send the documents requested here above ***Free text]*** |  |
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| ***Downstream*** | Your organisation has a majority of the shareholders' or members' voting rights another (or several other) enterprise(s) ; and or has the right to appoint or remove a majority of the members of the administrative, management or supervisory body of another (or several other) enterprise(s) ; and or has the right to exercise a dominant influence over another (or several other) enterprise(s) pursuant to a contract entered into with that (these) enterprise(s) or to a provision in its (their) memorandum or articles of association and or your organisation, which is a shareholder in or member of another (or several other) enterprise(s), controls alone, pursuant to an agreement with other shareholders in or members of that (these) enterprise(s), a majority of shareholders' or members' voting rights in that (these) enterprise(s) ***Yes or No]*** |  |
| If yes, please provide the legal name of this (these) enterprise(s) and send the documents requested here above ***Free text]*** |  |
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| ***1.2. Partner enterprises*** | ***Upstream*** | An enterprise (or several enterprises), which is (are) not classified as an upstream linked enterprise (see above) hold(s), either solely or jointly with one or more linked enterprises, 25 % or more of the capital or voting rights of your organisation ***[Yes or No]*** | |  |
| If yes, please provide the legal name of this (these) enterprise(s) and send the documents requested here above ***Free text]*** | |  |
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| Do(e)s this (these enterprise(s) belong to the following list: | Category 1: public investment corporations, venture capital companies, individuals or groups of individuals with a regulare venture capital investement activity who invest equity capital in unquoted businesses ("business angels"), provided the total investment of those business angels in your organisation is less than EUR 1 250 000 ***[Yes or No]*** |  |
| Category 2: universities or non-profit research centres ***[Yes or No]*** |  |
| Category 3: institutional investors, including regional development funds ***[Yes or No]*** |  |
| Category 4: autonomous local authorities with an annual budget of less than EUR 10 million and less than 5,000 inhabitants ***[Yes or No]*** |  |
| Except in the cases set out in the 4 abovementioned, 25 % or more of the capital or voting rights of your organisation are directly or indirectly controlled, jointly or individually, by one or more public bodies ***[Yes or No]*** | |  |
| ***Downstream*** | Your organisation holds, either solely or jointly with one or more linked enterprises, 25 % or more of the capital or voting rights of another (or several other) enterprise(s) ***[Yes or No]*** | |  |
| If yes, please provide the legal name of this (these) enterprise(s) and send the documents requested here above ***Free text]*** | |  |
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| **2- If according to your answers to the precedent group of questions you have linked and/or partner enterprise(s), please provide for each of them the following data for their last approved accounting period, except for those belonging to one (or more) of the 4 categories mentioned under upstream partners enterprises:** |

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| **Upstream Enterprises** | | | | | | | | |
| Legal name of the enterprise | Status of the enterprise | Closing date of last approved accounting period | Duration of last approved accounting period | Share in the capital of your organisation | Share in the voting rights of your organisation | Number of employees | Turnover | Annual balance sheet total |
| **(linked or partner)** | **(dd/mm/yy)** | **(in months)** | **(%)** | **(%)** | **(In annual working units)** | **(In Euro)** | **(In Euro)** |
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| **Downstream Enterprises** | | | | | | | | |
| Legal name of the enterprise | Status of the enterprise | Closing date of last approved accounting period | Duration of last approved accounting period | Your share in its capital | Your share in the voting rights of your organisation | Number of employees | Turnover | Annual balance sheet total |
| **(linked or partner)** | **(dd/mm/yy)** | **(in months)** | **(%)** | **(%)** | **(In annual working units)** | **(In Euro)** | **(In Euro)** |
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For each abovementioned enterprise, multiply the number of employees, the turnover and the annual balance sheet total by the highest % (either capital share or voting right share). Make the sum per category (eg number of employees, turnover and annual balance sheet total) and add it to your own number of employees, turnover and annual balance sheet total. If according to the results, you are under the ceilings established by the Recommendation 2003/361/EC relating to the definition of micro, small and medium-sized enterprises you are an SME. If not, you are not an SME.

1. SIGNATURE and STAMP

   Done at LOCATION, DD/MM/YYYY

   NAME\_SURNAME

   POSITION [↑](#endnote-ref-1)