MINNESOTA
OFFICE OF CANNABIS MANAGEMENT

Form D: Certification of No Disqualifying Convictions

Instructions: The grant applicant must certify that this condition is met, as required under this grant request for the proposal. Please sign below and submit this document as part of the grant application materials/response to the Office of Cannabis Management (OCM) grant request for proposal.

Along with your application materials, you must upload an organizational chart or list of principals whom you are certifying.

Definitions

Principal: A principal includes public officials, board members, and staff (paid or volunteer) with authority to access grant funds or determine how those funds are used (Minnesota Statutes, section 16B.981).

Recipient: The individual or entity applying for or receiving the grant. "Recipient" includes the organization and its key personnel (e.g., board members, officers, executives, employees or agents with authority over or access to grant funds, or individuals in a fiduciary role) (Minnesota Statutes, section 16B.991, subd. 1).

Statutory requirements

Minnesota Statutes, section 16B.981, subdivision 2(6) requires that no current principals of a grantee have been convicted of a felony financial crime in the last 10 years. Additionally, each grant agreement subject to Minnesota Statutes, sections 16B.98 and 16B.97 must provide that the agreement will immediately be terminated if the recipient is convicted of a criminal offense relating to a state grant agreement (Minnesota Statutes, section 16B.991, subd. 1).

Additional disqualifying offenses

Per OCM policy, disqualification may occur if any organizational principal has been convicted of the following offenses under Minnesota law.

- **Controlled substance crimes (non-cannabis)** under Minnesota Statutes, sections 152.021, 152.022, 152.0262, 152.0264 subd. 1(1), 152.097, 609.228, 609.235.
- **Human or labor trafficking** under Minnesota Statutes, sections 609.282, 609.322, 609.283.
- **Fraud and financial crimes** under Minnesota Statutes, sections 609.41, 609.42, 609.425, 609.445, 609.48, 609.496, 609.497, 609.52 subd. 2(a)(3,4,15,16) (insurance fraud context), 609.54, 609.465, 609.466, 609.64, 609.65(1), 609.651, 609.645, 609.825, 609.86, and any offense where fraud, deceit, or embezzlement is a necessary element.
- **Cannabis sales offenses** after Aug. 1, 2023, under Minnesota Statutes, section 152.0264.
- **Adulteration** under Minnesota Statutes, section 609.687.
- **Computer/electronic data theft** under Minnesota Statutes, section 609.89.
- **Attempts/conspiracies** under Minnesota Statutes, sections 609.17 or 609.175 when the underlying offense is listed above.
- **Equivalent out-of-state or federal convictions.**

Note: Certain stayed adjudications under Minnesota Statutes, section 152.18, and expunged convictions under Minnesota Statutes, section 152.09 (1988) are not disqualifying.

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Other disqualifying findings based on due diligence

Grantees and grant award finalists may also be deemed ineligible if due diligence reveals credible evidence involving any organizational principal related to:

- **Civil and criminal liabilities**: Ongoing or undisclosed civil or criminal litigation, judgments, or liens materially impacting financial integrity or the organization's ability to responsibly carry out grant activities.
- **Fraudulent misrepresentation**: Failure to disclose required information on application materials, including lawsuits, bankruptcies, or prior disciplinary actions.
- **Organizational misconduct**: Evidence of ongoing regulatory violations (e.g., labor law, OSHA, zoning, financial reporting, child welfare concerns) that would undermine grant objectives.
- **Reputational concerns and political liabilities**: Documented involvement in controversies that directly undermine public trust in OCM or state reinvestment programs.

By signing below, I warrant that:

1. No current organizational principal or recipient has been convicted of a felony financial crime in the last 10 years.
2. No organizational principal or recipient has been convicted of any additional qualifying offense listed in this form.
3. No organizational principal or recipient is responsible for liabilities, misrepresentation, misconduct, or reputational concerns detailed above.

I certify that this information is true, correct and reliable. I understand that the submission of inaccurate or misleading information may result in disqualification from the grant award and may subject my organization to suspension or debarment proceedings, as well as other remedies available to the state of Minnesota.

Print name	Signature	Title	Date

Acknowledgement of background study requirement

If the applicant organization is selected as a grant finalist, each organizational principal and recipient will be required to provide personal identifying information, including their full legal name, date of birth, Social Security number or other government-issued identifier, and signed consent to complete a public records review conducted by a third-party provider. Additional principals and recipients may be required to complete a public records review upon request throughout the pre-award risk assessment and grant award period.

By signing below, the applicant organization's authorized signatory and, when applicable, the board president or equivalent, acknowledges and agrees to these requirements.

Print name	Signature	Title	Date

Print name	Signature	Title	Date

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