



U.S. Small Business
Administration

Instructions for Uploading new MS Excel and PDF Files in
the SBICWEB Application
Version 2.0

Date: 03/19/2026

Prepared by the

Office of Investment and Innovation
U.S. Small Business Administration

I. Introduction

This document serves as a supplement to the Instructions for completing Small Business Administration (SBA)/Small Business Investment Company (SBIC) Financial Forms (“Form 468”, “Reinvestor Exhibit”, “Form 1031”, “Capital Certificate”).

A. Purpose

This document provides guidance on how to upload and submit each completed MS Excel file and a PDF of the file to SBA through the secure portal.

SBA is providing instructions on how to submit the financial forms as this may change as SBA updates its systems. Any questions regarding the instructions herein should be directed to ITSC@sba.gov.

B. System Requirements

You will need a Microsoft Excel compatible with Version 2016 or Microsoft 365. To complete the filing requirements, you will also need internet access to submit the financial forms and any supplemental material to SBA’s secure portal.

II. Uploading Financial Forms

A. MS Excel and PDF Financial Form Options Available to Upload

The table below provides brief descriptions of the MS Excel and PDF files which can be uploaded in the SBICWEB Application. Legacy files (other than the Forms 468, 1030, 1031, 1032, and Capital Certificate) which were previously uploaded are also included in the table below.

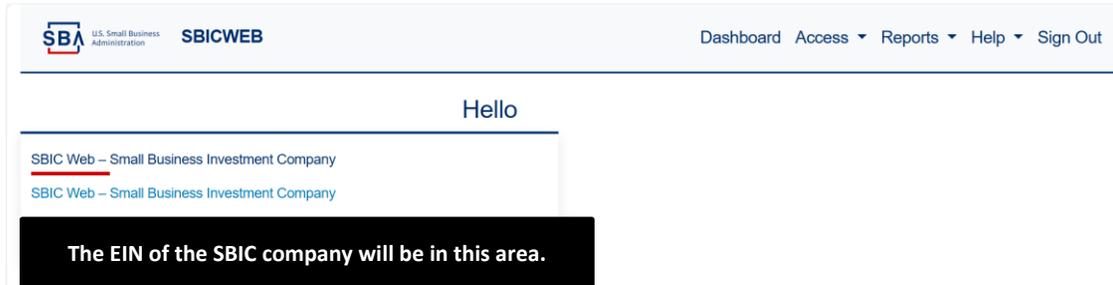
Financial Form	Description
Form 468 Short - Quarterly SBIC Financial Report [EXCEL]	Unaudited Quarterly Form 468 report in MS Excel format
Form 468 Short - Quarterly SBIC Financial Report [PDF WITH SIGNED CERTIFICATION]	PDF of Unaudited Quarterly Form 468 pages including signed certification page
Form 468 Long - Annual SBIC Financial Report (Audited) [EXCEL]	Audited Annual Form 468 report in MS Excel format
Form 468 Long - Annual SBIC Financial Report (Audited) [PDF WITH SIGNED CERTIFICATION]	PDF of Audited Annual Form 468 pages including signed certification page, Notes to Financial Statement, Auditor's Opinion, etc.
Form 468 - Reinvestor Exhibit [EXCEL]	Form 468 Reinvestor Exhibit in MS Excel format
Form 468 - Reinvestor Exhibit [PDF WITH SIGNED CERTIFICATION]	PDF of Form 468 – Reinvestor Exhibit pages including signed certification page
Form 1030 [EXCEL] – Risk Assessment Supplemental Information	Form 1030 in MS Excel Format
Form 1030 [PDF WITH SIGNED CERTIFICATION]	PDF of Form 1030 pages including signed certification page
Form 1031 [EXCEL] – Financing Report	Form 1031 in MS Excel Format
Form 1031 [PDF WITH SIGNED CERTIFICATION]	PDF of Form 1031 pages including signed certification page
Form 1032 [EXCEL] - Exhibit B SBICCT Supplemental Questionnaire	Form 1032 in MS Excel Format
Form 1032 [PDF WITH SIGNED CERTIFICATION]	PDF in Form 1032 pages including signed certification page
Capital Certificate [EXCEL]	Capital Certificate in MS Excel format
Capital Certificate [PDF WITH SIGNED CERTIFICATION]	PDF of Capital Certificate pages including signed certification page
Form 1031A	Form 1031A in PDF format (Legacy)
Bank Letter	Bank Letter in PDF format (Legacy)
Quarterly Status Report	Quarterly Status Report in PDF format (Legacy)
Distribution Worksheet	Distribution Worksheet in PDF format (Legacy)
Wind Up Plan	Wind Up Plan in PDF format (Legacy)

Passive Business Document	Passive Business Document related to legacy Form 1031s in PDF format (Legacy)
Performance	Performance report in MS Excel format
IPA Certification	IPA Certification in PDF format (Legacy)

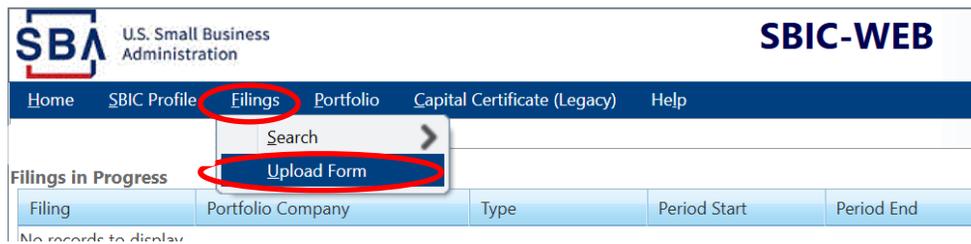
B. Upload Forms Preparation and Submission

After an SBIC user logs into SBICWEB, the user will land on the Home Page for the SBIC.

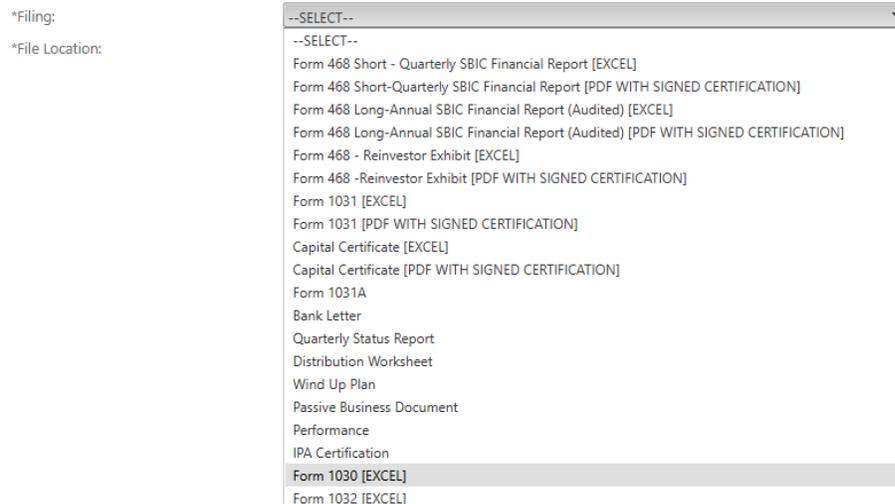
- Click on the EIN of the SBIC. For example:



To upload the financial forms, select “Filings” > “Upload Form” from the Main Menu.



On the Upload Form page, select the option of the financial form that needs to be uploaded from “Filing Type”.

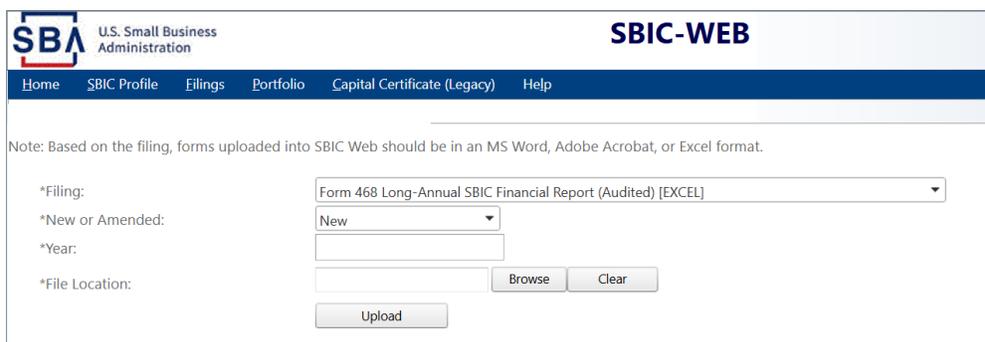


C. Uploading Forms with Different Form Filing Parameters

These instructions apply to the various Financial Form filings below:

1. **Form 468 Long - Annual SBIC Financial Report (EXCEL or PDF WITH SIGNED CERTIFICATION)**
 - a. From the Filing list, select *Form 468 Long - Annual SBIC Financial Report (EXCEL)* **OR** *Form 468 Long - Annual SBIC Financial Report (PDF WITH SIGNED CERTIFICATION)*. The option selected will determine the file type (.xls, .xlsm, .csv, .PDF) to upload.
 - b. From the New or Amended list, select “New” if the filing is the first submission of the financial form. Select “Amended” if the filing is a subsequent submission of the financial form. There can be more than one amended submission which can be distinguished by the file name and/or the date that the filing is submitted.
 - c. In the Year field, input the current year for the filing period covered in the financial form.
 - d. Click the Browse button and select the filing to upload. When selected, the system will show the file name in the File Location box.
 - e. Click Upload to begin the acceptance of the filing. A message confirming the successful upload of the filing will display on the SBICWEB page. Click “Okay” to complete the submission of the filing.

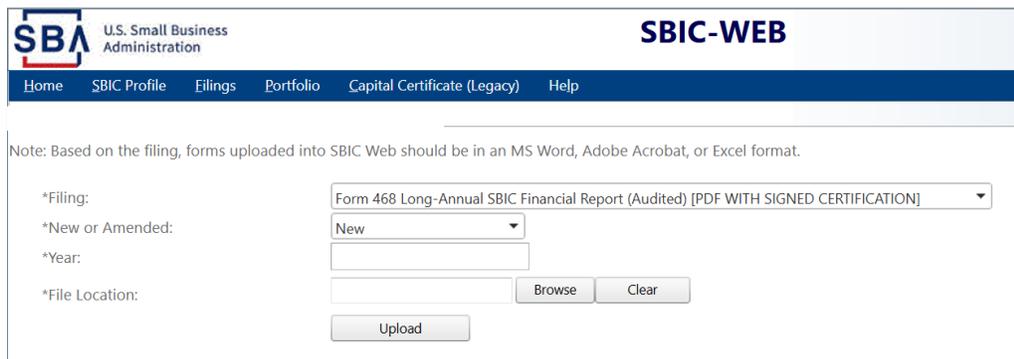
C1a. Filing List Option (EXCEL)



The screenshot shows the SBIC-WEB application interface. At the top left is the SBA U.S. Small Business Administration logo. At the top right is the text "SBIC-WEB". Below the logo is a navigation menu with links: Home, SBIC Profile, Filings, Portfolio, Capital Certificate (Legacy), and Help. A note below the menu states: "Note: Based on the filing, forms uploaded into SBIC Web should be in an MS Word, Adobe Acrobat, or Excel format." The main form area contains the following fields and buttons:

- *Filing: A dropdown menu with the selected option "Form 468 Long-Annual SBIC Financial Report (Audited) [EXCEL]".
- *New or Amended: A dropdown menu with the selected option "New".
- *Year: An empty text input field.
- *File Location: An empty text input field, a "Browse" button, and a "Clear" button.
- Below the File Location field is an "Upload" button.

C1a. Filing List Option (PDF WITH SIGNED CERTIFICATION)



The screenshot shows the SBIC-WEB application interface. At the top left is the SBA U.S. Small Business Administration logo. At the top right is the text "SBIC-WEB". Below the logo is a navigation menu with links: Home, SBIC Profile, Filings, Portfolio, Capital Certificate (Legacy), and Help. A note below the menu states: "Note: Based on the filing, forms uploaded into SBIC Web should be in an MS Word, Adobe Acrobat, or Excel format." The main form area contains the following fields and buttons:

- *Filing: A dropdown menu with the selected option "Form 468 Long-Annual SBIC Financial Report (Audited) [PDF WITH SIGNED CERTIFICATION]".
- *New or Amended: A dropdown menu with the selected option "New".
- *Year: An empty text input field.
- *File Location: An empty text input field, a "Browse" button, and a "Clear" button.
- Below the File Location field is an "Upload" button.

C1b. New or Amended List Options

SBA U.S. Small Business Administration **SBIC-WEB**

Home SBIC Profile Filings Portfolio Capital Certificate (Legacy) Help

Note: Based on the filing, forms uploaded into SBIC Web should be in an MS Word, Adobe Acrobat, or Excel format.

*Filing: Form 468 Long-Annual SBIC Financial Report (Audited) [PDF WITH SIGNED CERTIFICATION]

*New or Amended: Amended

*Year: New

*File Location: Amended

C1c. Year Option

SBA U.S. Small Business Administration **SBIC-WEB**

Home SBIC Profile Filings Portfolio Capital Certificate (Legacy) Help

Note: Based on the filing, forms uploaded into SBIC Web should be in an MS Word, Adobe Acrobat, or Excel format.

*Filing: Form 468 Long-Annual SBIC Financial Report (Audited) [PDF WITH SIGNED CERTIFICATION]

*New or Amended: New

*Year: 2026

*File Location:

C1d. Upload Selected Filing

SBA U.S. Small Business Administration **SBIC-WEB**

Home SBIC Profile Filings Portfolio Capital Certificate (Legacy) Help

Note: Based on the filing, forms uploaded into SBIC Web should be in an MS Word, Adobe Acrobat, or Excel format.

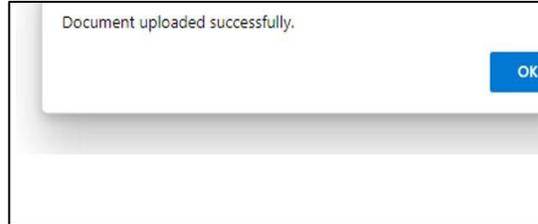
*Filing: Form 468 Long-Annual SBIC Financial Report (Audited) [PDF WITH SIGNED CERTIFICATION]

*New or Amended: New

*Year: 2026

*File Location:

C1e. Successful Filing Upload and Final Submission



2. Capital Certificate (EXCEL or PDF WITH SIGNED CERTIFICATION)

- a. From the Filing list, select *Capital Certificate (EXCEL)* **OR** *Capital Certificate (PDF WITH SIGNED CERTIFICATION)*. The option selected will determine the file type (.xls, .xlsm, .csv, .PDF) to upload.
- b. From the New or Amended list, select “New” if the filing is the first submission of the financial form. Select “Amended” if the filing is a subsequent submission of the financial form. There can be more than one amended submission which can be distinguished by the file name and/or the date that the filing is submitted.
- c. Click the Browse button and select the filing to upload. When selected, the system will show the file name in the File Location box.
- d. Click Upload to begin the acceptance of the filing. A message confirming the successful upload of the filing will display on the SBICWEB page. Click “Okay” to complete the submission of the filing.

C2a. Filing List Option (EXCEL)

U.S. Small Business Administration

SBIC-WEB

Home
SBIC Profile
Filings
Portfolio
Capital Certificate (Legacy)
Help

Note: Based on the filing, forms uploaded into SBIC Web should be in an MS Word, Adobe Acrobat, or Excel format.

*Filing: --SELECT--

*File Location:
 --SELECT--
 Form 468 Short - Quarterly SBIC Financial Report [EXCEL]
 Form 468 Short-Quarterly SBIC Financial Report [PDF WITH SIGNED CERTIFICATION]
 Form 468 Long-Annual SBIC Financial Report (Audited) [EXCEL]
 Form 468 Long-Annual SBIC Financial Report (Audited) [PDF WITH SIGNED CERTIFICATION]
 Form 468 - Reinvestor Exhibit [EXCEL]
 Form 468 -Reinvestor Exhibit [PDF WITH SIGNED CERTIFICATION]
 Form 1031 [EXCEL]
 Form 1031 [PDF WITH SIGNED CERTIFICATION]
Capital Certificate [EXCEL]
 Capital Certificate [PDF WITH SIGNED CERTIFICATION]
 Form 1031A
 Bank Letter

C2a. Filing List Option (PDF WITH SIGNED CERTIFICATION)

The screenshot shows the SBIC-WEB application interface. At the top, there is a navigation bar with the SBA logo and the text "U.S. Small Business Administration" on the left, and "SBIC-WEB" on the right. Below the navigation bar are links for "Home", "SBIC Profile", "Filings", "Portfolio", "Capital Certificate (Legacy)", and "Help". A note states: "Note: Based on the filing, forms uploaded into SBIC Web should be in an MS Word, Adobe Acrobat, or Excel format." Below the note, there are two labels: "*Filing:" and "*File Location:". The "*Filing:" label is followed by a dropdown menu that is open, showing a list of options: "--SELECT--", "--SELECT--", "Form 468 Short - Quarterly SBIC Financial Report [EXCEL]", "Form 468 Short-Quarterly SBIC Financial Report [PDF WITH SIGNED CERTIFICATION]", "Form 468 Long-Annual SBIC Financial Report (Audited) [EXCEL]", "Form 468 Long-Annual SBIC Financial Report (Audited) [PDF WITH SIGNED CERTIFICATION]", "Form 468 - Reinvestor Exhibit [EXCEL]", "Form 468 -Reinvestor Exhibit [PDF WITH SIGNED CERTIFICATION]", "Form 1031 [EXCEL]", "Form 1031 [PDF WITH SIGNED CERTIFICATION]", "Capital Certificate [EXCEL]", and "Capital Certificate [PDF WITH SIGNED CERTIFICATION]". The "Capital Certificate [PDF WITH SIGNED CERTIFICATION]" option is highlighted.

C2b. New or Amended List Options

The screenshot shows the SBIC-WEB application interface. At the top, there is a navigation bar with the SBA logo and the text "U.S. Small Business Administration" on the left, and "SBIC-WEB" on the right. Below the navigation bar are links for "Home", "SBIC Profile", "Filings", "Portfolio", "Capital Certificate (Legacy)", and "Help". A note states: "Note: Based on the filing, forms uploaded into SBIC Web should be in an MS Word, Adobe Acrobat, or Excel format." Below the note, there are four labels: "*Filing:", "*New or Amended:", "*Date of Capital Certificate:", and "*File Location:". The "*Filing:" label is followed by a dropdown menu showing "Capital Certificate [PDF WITH SIGNED CERTIFICATION]". The "*New or Amended:" label is followed by a dropdown menu that is open, showing two options: "New" and "Amended". The "*Date of Capital Certificate:" label is followed by a text input field. The "*File Location:" label is followed by a text input field, a "Browse" button, and a "Clear" button. Below these fields is an "Upload" button.

C2c. Upload Selected Filing and Provide Date of Capital Certificate

The screenshot shows the SBIC-WEB application interface. At the top, there is a navigation bar with the SBA logo and the text "U.S. Small Business Administration" on the left, and "SBIC-WEB" on the right. Below the navigation bar are links for "Home", "SBIC Profile", "Filings", "Portfolio", "Capital Certificate (Legacy)", and "Help". A note states: "Note: Based on the filing, forms uploaded into SBIC Web should be in an MS Word, Adobe Acrobat, or Excel format." Below the note, there are four labels: "*Filing:", "*New or Amended:", "*Date of Capital Certificate:", and "*File Location:". The "*Filing:" label is followed by a dropdown menu showing "Capital Certificate [PDF WITH SIGNED CERTIFICATION]". The "*New or Amended:" label is followed by a dropdown menu showing "New". The "*Date of Capital Certificate:" label is followed by a date picker widget with a calendar icon. The "*File Location:" label is followed by a text input field, a "Browse" button, and a "Clear" button. Below these fields is an "Upload" button.

C2d. Successful Filing Upload and Final Submission



D. Uploading Forms with the Same Form Filing Parameters

These instructions apply to the following Financial Form filings:

- **Form 468 Short - Quarterly SBIC Financial Report (EXCEL or PDF WITH SIGNED CERTIFICATION)**
- **Form 468 - Reinvestor Exhibit (EXCEL or PDF WITH SIGNED CERTIFICATION)**
- **Form 1030 – Risk Assessment Supplemental Information (EXCEL or PDF WITH SIGNED CERTIFICATION)**
- **Form 1031 – Financing Report (EXCEL or PDF WITH SIGNED CERTIFICATION)**
- **Form 1032 - Exhibit B SBICCT Supplemental Questionnaire (EXCEL or PDF WITH SIGNED CERTIFICATION)**

1. After determining the form filing, from the list above, to upload:
 - b. From the Filing list, select the financial form to be submitted. The selected option will determine the file type (.xls, .xlsm, .csv, .PDF) to upload.
 - c. From the New or Amended list, select “New” if the filing is the first submission of the financial form. Select “Amended” if the filing is a subsequent submission of the financial form. There can be more than one amended submission which can be distinguished by the file name and/or the date that the filing is submitted.
 - d. In the Year field, input the current year for the filing period covered in the financial form.
 - e. From the Quarter list, select the quarter of the current year for the filing period.
 - f. Click the Browse button and select the filing to upload. When selected, the system will show the file name in the File Location box.
 - g. Click Upload to begin the acceptance of the filing. A message confirming the successful upload of the filing will display on the SBICWEB page. Click “Okay” to complete the submission of the filing.

D1a. Filing List Option (EXCEL)

Note: Based on the filing, forms uploaded into SBIC Web should be in an MS Word, Adobe Acrobat, or Excel format.

*Filing: --SELECT--

*File Location: --SELECT--

Form 468 Short - Quarterly SBIC Financial Report [EXCEL]

Form 468 Short-Quarterly SBIC Financial Report [PDF WITH SIGNED CERTIFICATION]

Form 468 Long Annual SBIC Financial Report (Audited) [EXCEL]

D1a. Filing List Option (PDF WITH SIGNED CERTIFICATION)

D1b. New or Amended List Options

D1c. Year Option

D1d. Quarter List Options

The screenshot shows the SBIC-WEB application interface. At the top, there is a navigation bar with the SBA logo and the text 'U.S. Small Business Administration' on the left, and 'SBIC-WEB' on the right. Below the navigation bar, there are links for 'Home', 'SBIC Profile', 'Filings', 'Portfolio', 'Capital Certificate (Legacy)', and 'Help'. A note states: 'Note: Based on the filing, forms uploaded into SBIC Web should be in an MS Word, Adobe Acrobat, or Excel format.' Below the note, there are several dropdown menus: '*Filing:' is set to 'Form 468 Short-Quarterly SBIC Financial Report [PDF WITH SIGNED CERTIFICATION]'; '*New or Amended:' is set to 'New'; '*Year:' is set to '2026'; '*Quarter:' is set to '--SELECT--'; and '*File Location:' is set to '--SELECT--'. To the right of the '*File Location:' dropdown, there are 'Browse' and 'Clear' buttons. The dropdown menu for '*File Location:' is open, showing the following options: 'Q1 - Interim (Unaudited)', 'Q2 - Interim (Unaudited)', 'Q3 - Interim (Unaudited)', and 'Q4 - Interim (Unaudited)'.

D1e. Upload Selected Filing

The screenshot shows the SBIC-WEB application interface for the 'Argentum Capital Partners III, L.P. - Upload Form' page. At the top, there is a navigation bar with the SBA logo and the text 'U.S. Small Business Administration' on the left, and 'SBIC-WEB' on the right. Below the navigation bar, there are links for 'Home', 'SBIC Profile', 'Filings', 'Portfolio', 'Capital Certificate (Legacy)', and 'Help'. The page title is 'Argentum Capital Partners III, L.P. - Upload Form'. A note states: 'Note: Based on the filing, forms uploaded into SBIC Web should be in an MS Word, Adobe Acrobat, or Excel format.' Below the note, there are several dropdown menus: '*Filing:' is set to 'Form 468 Short-Quarterly SBIC Financial Report [PDF WITH SIGNED CERTIFICATION]'; '*New or Amended:' is set to 'New'; '*Year:' is set to '2026'; '*Quarter:' is set to 'Q2 - Interim (Unaudited)'; and '*File Location:' is set to a yellow highlighted box. To the right of the '*File Location:' dropdown, there are 'Browse' and 'Clear' buttons. Below the '*File Location:' dropdown, there is an 'Upload' button.

D1f. Successful Filing Upload and Final Submission



E. Viewing Uploaded MS Excel and PDF Financial Form Filings

All uploaded and submitted new MS Excel and PDF Financial Form filings can be viewed under the “Licensee Filings” page. This page can be found in the left navigation menu under “SBIC Profile” in the Main Menu of the SBICWEB page. All information provided when initially uploading the filing can also be viewed on this page.

If a user needs to update a submitted filing, the user should follow the steps in Section C and Section D for the specific filing that needs to be corrected. Users should select “Amended” when uploading and submitting an updated version of an existing filing.

Navigate to the Dashboard and select the EIN for the SBIC company. Select “SBIC Profile” at the top of the dashboard.



Select “Licensee Filings” on the left side of the pane.

