

SMALL BUSINESS ELEMENT SUPPORTING DOCUMENTS CHECKLIST

In order to complete your application for SBE certification, you must attach copies of all of the following REQUIRED documents. Failure to supply any information requested by the DOTD may result in your firm's denied SBE certification

All Applicants

- Resumes (that include places of ownership/employment with corresponding dates), for all owners and key personnel of the applicant firm
- Personal Net Worth Statement (Personal Financial Statement) for each socially and economically disadvantaged owners comprising 51% or more of the ownership percentage of the applicant firm (form available with this application)
- Personal Federal tax returns for the past three (3) years, if applicable, for each disadvantaged owner including all attachments such as K-1s, 1098s, 1099s, and W-2s.
- Federal tax returns (and requests for extensions) filed by the firm and its affiliates with related schedules for the past three (3) years (gross receipts) and all related schedules for the past three years.
- Signed loan and security agreements, and bonding forms.
- List of equipment and/or vehicles owned and leased including VIN numbers, copy of titles, proof of ownership, insurance cards for each vehicle.
- Title(s), registration certificate(s) and US DOT numbers for each truck owned or operated by your firm.
- Licenses, license renewal forms, permits and haul authority forms.
- Descriptions of all real estate (including office/storage space, etc.) owned/leased by your firm and documented proof of ownership/signed leases
- Documented proof of any transfers of assets to/from your firm and/or to/from any of its owners over the past two years
- DBE/ACDBE, SBA 8(a), SBE, SDB MBE/WBE certifications, denials, and/or decertification, if applicable
- Bank authorization and signatory cards
- Schedule of salaries (or other compensation or remuneration) paid to all officers, managers, owners, and/or directors of the firm
- List of all employees, job titles, and date of employment.
- Proof of warehouse/storage facility ownership or lease arrangements

Partnership or Joint Venture

- Original and any amended Partnership or Joint Venture Agreements

Corporation or LLC

- Official Articles of Incorporation (*signed by the state official*)
- Both sides of all corporate stock certificates and your firm's stock transfer ledger
- Shareholders' Agreement
- Minutes of all stockholders and board of directors meetings
- Corporate by-laws and any amendments
- Corporate bank resolution and bank signature cards
- Official Certificate of Formation and Operating Agreement with any amendments (for LLCs)

Optional Documents to Be Provided on Request

The SBE to which you are applying may require the submission of the following documents. If requested to provide these documents, you must supply them with your application or at the on-site visit.

- Proof of citizenship
- Insurance agreements for each truck owned or operated by your firm. List of construction equipment and/or vehicles owned and titles/proof of ownership
- Audited financial statements (if available)
- Personal Federal Tax returns for the past three (3) years if applicable for other disadvantaged owners of the firm.
- Trust agreements held by any owner claiming disadvantaged status
- Year-end balance sheets and income statements for the past three years (*or life of firm, if less than three years*); a new business must provide a current balance sheet

Suppliers

- List of product lines carried and list of distribution equipment owned and/or leased.

NOTE: The specific state SBE to which you are applying may have additional required documents that you must also supply with your application. Contact the appropriate certifying agency to which you are applying to find out if more is required.