



## SMALL BUSINESS ENTERPRISE (SBE) DOCUMENT CHECKLIST

### For All Applicants:

- 1. Completed [SBE CERTIFICATION APPLICATION.pdf \(maryland.gov\)](#). Please be sure to complete all sections of the application to include listing all owners and the 6-digit NAICS codes requested. If a section does not apply to your business, please write N/A. ([North American Industry Classification System \(NAICS\) U.S. Census Bureau](#)).
- 2. **COMPLETED** Declaration of Eligibility (DOE) for ALL owners upon which Small Business Status is relied.
- 3. **Proof of U.S. Citizenship** in the form of a U.S. Passport, Permanent Resident Card, Certificate of Naturalization **or** birth certificate **AND** government issued photo identification (e.g. driver's license or state ID).
- 4. Completed [Personal \(Financial\) Net Worth Statement \(maryland.gov\)](#) for all owners who relied upon disadvantaged status constituting 51% ownership. **ALL** supporting documents should be in PDF format. Supporting documents (**ex: bank statements, retirement statement, mortgage statement, car note statement, homeowners' insurance**) must be current, complete including **ALL** pages and identify the account holder(s) and account summary information for all separately and jointly owned assets/liabilities. **According to the new Final Rule issued by the United States Department of Transportation (USDOT) on April 9, 2024, the DBE/ACDBE/SBE Programs excludes retirement assets from PNW calculations.**
- 5. Complete copy of **personal federal tax returns** for the past three (3) years for each owner constituting 51% ownership. Taxes are **REQUIRED** to have a wet (ink) signature with date. Include **ALL** schedules, statements, attachments, worksheets, and footnotes.
- 6. Complete copy of **business federal tax returns** for the past five (5) years. Taxes are **REQUIRED** to have an authentic handwritten signature date. Include **ALL** schedules, statements, attachments, worksheets, and footnotes. (**Include business taxes for other businesses owned by the applicant**).
- 7. **Additional Businesses Owned**. Please provide business taxes for other businesses owned by the applicant.
- 8. Year-end financial statements of the applicant firm for the past three (3) years or life of the firm is less than three years. A new business **MUST** provide a current financial statement and non-CPA statements are acceptable. Please see example here:

[https://www.mdot.maryland.gov/MBE\\_DOCS/financial\\_statement.pdf](https://www.mdot.maryland.gov/MBE_DOCS/financial_statement.pdf)

**Additional Documents for Corporation:**

- 1. Copy of the firm's official **Articles of Incorporation** signed by the State official (**SDAT**).
- 2. Copy of stock ledger for stock issuing corporation or list of members for non-stock issuing corporation and **ALL** stock certificates (please provide current and canceled certificates). **For purposes of the DBE Program, stock must be issued to show ownership.(Refer back to Articles of Incorporation to reference issuance of stock).**
- 3. Copies of **ALL Board of Directors** and **Stockholder** meeting minutes.
- 4. Copy of the firm's **Original and Amended By-laws** and **Shareholders' Agreements**. Please include all attachments and exhibits.

**Additional Documents for Limited Liability Company:**

- 1. Copy of the firm's official **Articles of Organization** signed by the State official (**SDAT**). For out-of-state firms, please provide a copy of the business registration (Articles) filed with the State Agency.
- 2. Copy of the firm's **Original and Amended Operating Agreement**. Please include all attachments and exhibits.

**Additional Document(s) for Partnership:**

- 1. Original and Amended **Executed Partnership agreement(s)** and/or buy-out rights.