



## **SMALL BUSINESS ENTERPRISE (SBE) DOCUMENT CHECKLIST**

- 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, for every entry listed on the form, 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 or life of the business. 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 for the past 5 years or life of the business.**
- 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 REQUIRED FOR A SOLE PROPRIETORSHIP**

- 1). A copy of **Trade Name Registration** for ALL certified firms using a Trade Name.

### **ADDITIONAL DOCUMENTS REQUIRED FOR A LIMITED LIABILITY COMPANY (LLC)**

- 1). Copy of the firm's official **Articles of Organization signed by the State official**. 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 ( see sample here).

[https://www.mdot.maryland.gov/MBE\\_DOCS/sample llc operating agreement.pdf](https://www.mdot.maryland.gov/MBE_DOCS/sample_llc_operating_agreement.pdf).

### **ADDITIONAL DOCUMENTS REQUIRED FOR A CORPORATION**

- 1). Copy of the firm's official **Articles of Incorporation signed by the State official**. For **out-of-state firms**, please provide a copy of the business registration (Articles) filed with the State Agency.
- 2.) Copies of ALL **Board of Directors and Stockholder meeting minutes**.
- 3). 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 Programs, stock must be issued to show ownership. (Refer back to Articles of Incorporation to reference issuance of stock).
- 4). **Original and Amended By-Laws and Shareholders Agreements**. Including all **attachments and exhibits**.

### **ADDITIONAL DOCUMENTS REQUIRED FOR A PARTNERSHIP**

- 1) **Original and Amended Executed Partnership agreement(s) and/or buy-out rights**.
- 2) **Profit sharing agreement (executed)**. Please include all attachments and exhibits.