



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 AND NOTARIZED** SBE Affidavit of Certification 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 minority owners 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. It is important to note that retirement assets are still included for the MBE Program's PNW calculations. For MBE certification, Worksheet 13 of the PNW Statement will require applicants to document the value of all retirement account(s) and submit supporting documentation, such as retirement account statements, with an application.**
- 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
- 9. **For Maryland based businesses**. Provide a copy of **Proof of Good Standing** from the Maryland Department of Assessments and Taxation (**Businesses in Maryland - SDAT**). Proof of Good Standing is **REQUIRED** and can be in the form of a screen capture or Official Certificate (**SDAT**).

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 MBE/DBE Programs, 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.