



## **DBE/ACDBE/SBE DOCUMENT CHECKLIST**

- 1. Completed certification application [UNIFORM CERTIFICATION APPLICATION \(UCA\)](#). Please be sure to **complete all sections** of the application to include **ALL OWNERS** listed on the application and the 6-digit NAICS codes requested. If a section does not apply to your business, please indicate/write N/A. Please include **legible copies** of all attachments and exhibits. ([North American Industry Classification System \(NAICS\) U.S. Census Bureau](#)).
- 2. Completed [DECLARATION OF ELIGIBILITY | US Department of Transportation](#) (DBE/ACDBE/SBE) for **ALL** applicants claiming disadvantage status. The document is required to be signed with a **wet ink signature and date**.
- 3. **Documented proof of contributions** used to acquire ownership. Owners must show how they contributed/paid for the value of their interest or investment of personal funds in the business. Proof of contribution/investment is required by **ALL** owners (**SEDO & Non-SEDO**) to show how they acquired ownership. The acquisition<sup>1</sup> information can be in the form of a **business registration payment, canceled checks by the bank (NOT blank or voided), wire transfer, personal and business bank statements (e.g. transfer of funds from a personal account to an open business account)**. If unavailable and/or the firm is over five (5) years, provide a signed **itemized statement with supporting documents detailing your personal financial investment (must include dollar amounts) and/or documentation to support continued maintenance<sup>2</sup> of the firm with a wet ink signature and date**. If Ownership was acquired through a gift, please provide a detailed description and documentation of the gift (e.g. **letter, legal document, etc.**). A written explanation from the **SEDO** must be provided if supporting documentation is not available.
  - **Acquisition<sup>1</sup>** - U.S. DOT regulation 49 CFR 26.69(b) states - the SEDO acquires ownership at fair value and by one or more "investments," (i.e., SDAT initial contribution, bank deposits connected to proof of personal funds). The acquisition of ownership by purchase, capital contribution, or gift (subject to the other requirements of the section) are considered an "investment" in the firm, as are additional purchases, contributions, and qualifying gifts.
  - **Maintenance<sup>2</sup>** - U.S. DOT 49 CFR Part 26 Subpart D §26.69 states – Ownership, the Socially and Economically Disadvantaged Owner (SEDO) must maintain his/her investment and its proportion relative to those of other owners. Please provide proof that you have made significant, additional, post-acquisition contributions to the firm (e.g. Recent personal funds used to make deposits in business account, personal funds used to pay for recent licensing, recent business filing fees paid for using personal funds, recent purchases of equipment from personal funds, recent bank statements indicating the personal contributions to the firm).
- 4. **Resumes of ALL OWNER(s)/APPLICANT FIRM(s), ALL OFFICERS, ALL DIRECTORS, AND ALL KEY EMPLOYEES.** Resumes must be in detailed chronological order to include listing the title and duties of the applicant firm; include places of ownership/employment with corresponding dates.



- 5. **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).
- 6. Completed **Personal (Financial) Net Worth Statement** with **wet ink signature and date** for all Socially and Economically Disadvantaged Owners (SEDO) constituting 51% ownership. **Do not list business accounts/information on the PNW.** ALL supporting documents should be in PDF format. Supporting documents (e.g. **bank statements, brokerage, retirement, mortgage, car note statements, and homeowners' insurance**) must be current. Complete **ALL** pages. Identify the account holder(s), and account summary information for all separately and jointly owned assets/liabilities. **Provide quarterly reports for retirement and brokerage accounts (two quarters), and three months of account statements (e.g. bank(s), mortgage(s), car note(s), and homeowners' insurance).** **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.**
- 7. Complete copy of **personal federal tax returns** for the past three (3) years for each owner constituting 51% ownership. Taxes are **REQUIRED** to have an **authentic wet ink signature with date**. **If filing jointly both signatures are required.** Include **ALL** schedules, statements, attachments, worksheets, and footnotes.
- 8. Complete copy of **business federal tax returns** for the past **five (5) years or life of the firm**. Taxes are **REQUIRED** to have an **authentic wet ink signature with date**. Include **ALL** schedules, statements, attachments, worksheets, and footnotes. **If providing a "Schedule C" from the 1040 for business taxes, only provide ALL the pages of the Schedules C for the past five (5) years.**
- 9. **Additional Businesses Owned.** Please provide **business taxes for other businesses for the past 5 years or the life of the business owned by the applicant, with an authentic wet signature and date.**
- 10. **Year-end financial statements** of the applicant firm for **the past three (3) years or the life of the firm if less than three years.** A new business **MUST** provide a current **Financial statement**; non-CPA statements are acceptable.



- 11. Copy of the firm's **Quarterly State Unemployment Tax Wage Report** for the most recent four (4) quarters. Please include a summary sheet and list of employees. **If employees are independent contractors or subcontractors, please provide a copy of the previous tax year 1099's issued.** If an owner takes drawings, please provide a copy of the owner's drawings for the last year. **If this does not apply to your business, please provide a written statement indicating such.**
- 12. Copy of **ALL home state DBE/SBE, or any additional certification(s)** for **non-Maryland firms only AND** Copy of all certifications and denials must be from a State and/or local governmental agency.
- 13. Copies of **Professional Licenses and Permits** include all current licenses and permits (**industry specific**), held by the business, the owner(s), and employee(s) in the areas of work the business is seeking certification.
- 14. Copy of **ALL Business Bank Signature Authorization** form or a letter signed by a bank official indicating who has the **authority** to sign checks for the business account(s).
- 15. **Agreements (Executed & Unredacted)** such as lease, loan, distributorship, or any other type of formal written agreements related to the operation, management, and or funding of the business. Include agreements with financial institutions or other types of businesses/individuals and proof of payment on loans, if applicable.
- 16. **List of equipment** used by business seeking certification (e.g. **cell phones, computers, vehicles, and software**).
- 17. Businesses less than one year old are encouraged, **BUT NOT REQUIRED**, to submit a **Corporate Capability Statement and/or Business Plan**.
- 18. Copy of **State issued vehicle title(s) or registration(s) and current vehicle and business insurance policy** for **ALL** vehicles and equipment used by the business. For leased equipment and vehicles, please provide a copy of the executed lease agreement.
- 19. Copies of three **executed** (3) job contracts or invoices (**signed and dated**), if applicable, along with **proof of payment** for all contracts provided. Task orders, purchase orders, and invoices are acceptable. For job contracts, please include copies of the scope of work if applicable.
- 20. **Trust Agreements**, if applicable, are **required**. Provide copies of trust agreements held by any owner claiming disadvantaged status. Please be sure to include **trust tax documents** for the most recent five years.



#### **ADDITIONAL DOCUMENTS REQUIRED FOR SOLE PROPRIETORSHIP**

- A copy of **Trade Name Registration** is required for **ALL** certified firms using a Trade Name.

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

- 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.
- Copy of the firm's **Original and Amended Operating Agreement**. Please include legible copies of **all** attachments and exhibits.

#### **ADDITIONAL DOCUMENTS REQUIRED FOR CORPORATIONS**

- 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.
- Copies of **ALL Board of Directors and Stockholder meeting minutes according to the date established**. If minutes cannot be provided a written explanation is **required**.
- 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)**.
  - a. For purposes of the DBE Programs, stock must be issued to show ownership. (Refer back to Articles of Incorporation to reference issuance of stock).
- Original and Amended By-Laws and Shareholders Agreements**. Include **all** attachments and exhibits.

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

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