

New DBE Application Checklist
Responses and Documentation (Mandatory and Required Documents)

Document List

Mandatory Document List	Electronic document available? Yes or No	Comments/Notes
<u>Affidavit of Certification</u>		
<u>Personal Net Worth Statement</u>		
Personal Federal tax returns for the past 5 years for each disadvantaged owner		
Federal tax returns filed by the firm and its affiliates with related schedules, for the past 5 years		
Bank authorization and signatory cards A signature card is a document that a bank keeps on file with the signatures of all the authorized people on that account. ... In other words, a signature card is a fraud prevention tool that a bank uses to make sure unauthorized people aren't forging checks in the company's name.		
Documented proof of any transfers of assets to/from your firm and/or to/from any of its owners over the past 2 years		
<u>Documented</u> proof of contributions used to acquire ownership for each owner <i>Need to provide cancelled check, bank statement, loan agreement, etc.</i>		
Schedule of salaries (or other remuneration) paid to all officers, managers, owners, and/or directors of the firm		

Signed loan and security agreements, and bonding forms		
<p>Descriptions of all real estate owned/leased by firm and documented proof of ownership/signed leases</p> <p><i>Need proof (cancelled check, proof of transfer of money, etc.) of 3 most recent rent/lease/mortgage payments</i></p>		
Licenses, license renewal forms, permits, and haul authority forms		
List of all employees, job titles, and dates of employment		
List of equipment and/or vehicles owned and leased		
Resumes for all owners, officers of firm and key personnel of the applicant firm		
Both sides of all corporate stock certificates and your firm's stock transfer ledger		
<p>Corporate bank resolution and bank signature cards</p> <p>A corporate resolution for a bank account is a statement listing the names of officers authorized to do business on the corporation's behalf. Corporations need bank accounts to create a separate holding place for money associated with their business, and banks must know who represents the corporation as they do business together.</p> <p>A signature card is a document that a bank keeps on file with the signatures of all the authorized people on that account. ... In other words, a signature</p>		

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<p>Corporate by-laws and any amendments</p> <p>Corporate bylaws are used by a business or corporation. They are a rule or law that is specific to the company or organization. Bylaws ensure that everyone is on the same page regarding the expectations of the company and how the organization will be run.</p>		
Minutes of all stockholders and board of directors meetings		At this time
<p>Official Certificate of Formation and Operating Agreement with any amendments</p> <p>A certificate of formation is a document that creates a new limited liability company (LLC) under state law in the U.S. It states specific information about the business that is prescribed by an authorizing statute.</p> <p>An operating agreement is a key document used by LLCs because it outlines the business' financial and functional decisions including rules, regulations and provisions. The purpose of the document is to govern the internal operations of the business in a way that suits the specific needs of the business owners.</p>		
<p>Shareholders' Agreement(s)</p> <p>A shareholders' agreement is an arrangement among a company's shareholders that describes how the company should be operated and outlines shareholders' rights and</p>		

obligations. The shareholders' agreement is intended to make sure that shareholders are treated fairly and that their rights are protected		
Proof of citizenship MANDATORY – MUST BE PRESENT <ul style="list-style-type: none"> • U.S. Passport • Birth Certificate • Certificate of U.S. Citizenship (INS Form N-560 or N-561) • Certificate of Naturalization (INS Form N-550 or N-570) • Permanent Resident Card or Alien Registration Receipt Card with photograph (INS Form I-151 or I-551) 		

Required Document List	Electronic document available? Yes or No	Comments/Notes
DBE/ACDBE and SBA 8(a), SDB, MBE/WBE certifications, denials, and/or decertifications		
Insurance agreements for each truck owned or operated by your firm		
Proof of warehouse/storage facility ownership or lease arrangements		
Title(s), registration certificate(s), and U.S. DOT numbers for each truck owned or operated by your firm		
Year-end balance sheets and income statements for the past 3 years		
Audited financial statement		
Personal Federal Tax returns for the past 3 years, if applicable, for other disadvantaged owners of the firm		
SUPPLIERS - List of distribution equipment owned and/or leased		
SUPPLIERS - List of product lines carried		

Trust agreements held by any owner claiming disadvantaged status		
Irrevocable Transfer of Rights		
Additional supporting documents not listed		

Business/Year	2018	2019	2020	2021	2022
	\$	\$	\$	\$	\$
	\$	\$	\$	\$	\$
	\$	\$	\$	\$	\$
	\$	\$	\$	\$	\$