

DBE New Application Document Checklist

Please use the checklist below to prepare the required documents. The checkboxes correspond to the Upload Documents area in your application portal.

For affiliate firms' tax returns, if your firm has more than one affiliate, compile all the documents for each year, then scan/combine them into one file.

For each item that says **(for each applicable owner)**, the system will generate a separate upload item space for each owner, with the owner's name, on the Upload Documents page. You can then upload the corresponding file in the application portal for each owner that DBE certification is dependent on. You are not required to submit those documents for owners that certification is not dependent on, even though the system automatically generates an upload space for that owner.

Application Materials

- Uniform Certification Application (UCA)
- Affidavit of Certification **(for each applicable owner)**
- Government-issued photo ID (i.e., Driver's license, Passport, Permanent Resident Card, Certificate of Naturalization, etc.) **(for each applicable owner)**
- No Change Affidavit
- Notice of Change
- Personal Net Worth Statement **(for each applicable owner)**
- DBE and SBA 8(a) or SDB certifications, denials, and/or de-certifications, if applicable; and any U.S. DOT appeal decisions on these actions

Out of State Firms

- DBE Interstate Certification Affidavit

Tax Returns

Personal tax returns for the most recent past three years (for each applicable owner)

- Personal tax returns 1st year **(for each applicable owner)**
- Personal tax returns 2nd year **(for each applicable owner)**
- Personal tax returns 3rd year **(for each applicable owner)**

Applicant firm's tax returns and all related schedules and statements for the most recent past three years

- Your firm's federal tax returns and all related schedules 1st year
- Your firm's federal tax returns and all related schedules 2nd year
- Your firm's federal tax returns and all related schedules 3rd year

Affiliate firm's tax returns and all related schedules for the past three years (for each affiliate)

- Affiliates' federal tax returns and all related schedules 1st year **(for each affiliate)**
- Affiliates' federal tax returns and all related schedules 2nd year **(for each affiliate)**
- Affiliates' federal tax returns and all related schedules 3rd year **(for each affiliate)**

Owner Information

- Work experience resumes that includes places of employment with corresponding dates **(for all owners and officers of the firm)**
- Documented proof of contributions used to acquire ownership **(for each owner)**
- List of all employees, job titles, and dates of employment
- Schedule of salaries (or other compensation or remuneration) paid to all officers, managers, owners, and/or directors of the firm
- Trust agreements held by any owner claiming disadvantaged status, if any **(for each applicable owner)**

- Documented proof of any transfers of assets to/from firm and/or to/from any of its owners over the past two years

Business Information

- Firm's signed loan agreements, security agreements, and bonding forms
- Descriptions of all real estate (including office/storage space, etc.) owned/leased by firm and documented proof of ownership/signed leases
- List of equipment and/or vehicles owned and leased including VIN numbers, copy of titles, proof of ownership, insurance cards for each vehicle
- Audited financial statements (if available) –OR– Year-end balance sheets and income statements **(for the past three years or life of firm, if less than three years)**
- All relevant licenses, license renewal forms, permits, and haul authority forms
- Bank authorization and signatory cards

Partnership or Joint Venture

- Original and any amended Partnership or Joint Venture Agreements

Corporation

- Official Articles and Certificate of Incorporation and any Amendments
- Corporate by-laws and any Amendments
- Firm's stock transfer ledger and Both sides of all corporate stock certificates
- Shareholders' Agreement(s) and any Amendments
- Minutes of all stockholders and board of directors meetings

LLC

- Articles of Organization/Formation and any Amendments
- Official Certificate of Organization/Formation and any Amendments
- Operating Agreement with any amendments

Trucking Company

- Insurance agreements for each truck owned or operated by your firm
- Title(s), registration certificate(s), and US DOT numbers for each truck owned or operated by firm

Suppliers

- Proof of warehouse/storage facility ownership or lease agreements
- List of product lines carried and list of distribution equipment owned and/or leased