

**DISADVANTAGED BUSINESS ENTERPRISE PROGRAM
49 C.F.R. PART 26**

UNIFORM CERTIFICATION APPLICATION

ROADMAP FOR APPLICANTS

1. Should I apply?

- Is your firm at least 51%-owned by a socially and economically disadvantaged individual(s) who also controls the firm?
- Is the disadvantaged owner a U.S. citizen or lawfully admitted permanent resident of the U.S.?
- Is your firm a small business that meets the Small Business Administration's (SBA's) size standard and does not exceed \$17.42 million in gross annual receipts?
- Is your firm organized as a for-profit business?

⇒ If you answered "Yes" to all of the questions above, you ***may*** be eligible to participate in the U.S. DOT DBE program.

2. Is there an easier way to apply?

If you are currently certified by the SBA as an 8(a) and/or SDB firm, you may be eligible for a streamlined certification application process. Under this process, the certifying agency to which you are applying will accept your current SBA application package in lieu of requiring you to fill out and submit this form. **NOTE: You must still meet the requirements for the DBE program, including undergoing an on-site review.**

3. Be sure to attach all of the required documents listed in the Documents Check List at the end of this form with your completed application.

4. Where can I find more information?

- U.S. DOT – <http://osdbuweb.dot.gov/business/dbe/index.html> (this site provides useful links to the rules and regulations governing the DBE program, questions and answers, and other pertinent information)
- SBA – <http://www.ntis.gov/naics> (provides a listing of NAICS codes) and <http://www.sba.gov/size/indextableofsize.html> (provides a listing of SIC codes)
- 49 CFR Part 26 (the rules and regulations governing the DBE program)

Under Sec. 26.107 of 49 CFR Part 26, dated February 2, 1999, if at any time, the Department or a recipient has reason to believe that any person or firm has willfully and knowingly provided incorrect information or made false statements, the Department may initiate suspension or debarment proceedings against the person or firm under 49 CFR Part 29, take enforcement action under 49 CFR Part 31, Program Fraud and Civil Remedies, and/or refer the matter to the Department of Justice for criminal prosecution under 18 U.S.C. 1001, which prohibits false statements in Federal programs.

Section 3: OWNERSHIP

Identify all individuals or holding companies with any ownership interest in your firm, providing the information requested below (If more than one owner, attach separate sheets for each additional owner):

A. Background Information						
(1) Name:		(2) Title:		(3) Home Phone #:		
(4) Home Address (<i>street and number</i>):			City:	State:	Zip:	
(5) Gender:	<input type="checkbox"/> Female	<input type="checkbox"/> Male	(6) Ethnic group membership (<i>Check all that apply</i>):			
(7) U.S. Citizen:	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Black	<input type="checkbox"/> Native American		
(8) Lawfully Admitted Permanent Resident:		<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Hispanic	<input type="checkbox"/> Asian Pacific	
				<input type="checkbox"/> Other (<i>specify</i>)	<input type="checkbox"/> Subcontinent Asian	
B. Ownership Interest						
(1) Number of years as owner:			(2) Initial investment to acquire ownership interest in firm:			
(3) Percentage owned:			Type	Dollar Value		
(4) Familial relationship to other owners:			<input type="checkbox"/> Cash	\$		
			<input type="checkbox"/> Real Estate	\$		
			<input type="checkbox"/> Equipment	\$		
			<input type="checkbox"/> Other	\$		
			(5) Shares of Stock:			
Number	Percentage	Class	Date Acquired	Method Acquired		
(6) Does this owner perform a management or supervisory function for any other business? If Yes, identify:					<input type="checkbox"/> No	<input type="checkbox"/> Yes
Name of Business			Function/Title			
(7) Does this owner own or work for any other firm(s) that has a relationship with this firm (<i>e.g., ownership interest, shared office space, financial investments, equipment, leases, personnel sharing, etc.</i>)? If Yes, identify:					<input type="checkbox"/> No	<input type="checkbox"/> Yes
Name of Business		Function/Title		Nature of Business Relationship		
C. Disadvantaged Status						
NOTE: Complete this section for each owner applying for DBE qualification (i.e. for each owner claiming to be socially and economically disadvantaged)						
(1) What is the Personal Net Worth (PNW) of the owner(s) applying for DBE qualification? (Use and attach the Personal Financial Statement form at the end of this application; attach additional sheets if more than one owner is applying)						
(2) Has any trust been created for the benefit of this disadvantaged owner(s)?					<input type="checkbox"/> No	<input type="checkbox"/> Yes
If Yes, explain (<i>attach additional sheets if needed</i>):						

Section 4: CONTROL

A. Identify your firm's Officers & Board of Directors (If additional space is required, attach a separate sheet):					
Name		Title	Date Appointed	Ethnicity	Gender
(1) Officers of the Company	(a)				
	(b)				
	(c)				
	(d)				
	(e)				
(2) Board of Directors	(a)				
	(b)				
	(c)				
	(d)				
	(e)				
(3) Do any of the persons listed in (1) and/or (2) above perform a management or supervisory function for any other business? If Yes, identify for each:				<input type="checkbox"/> No	<input type="checkbox"/> Yes
Person		Title	Business	Function	
(4) Do any of the persons listed (1) and/or (2) above own or work for any other firm(s) that has a relationship with this firm (e.g., ownership interest, shared office space, financial investments, equipment, leases, personnel sharing, etc.)? If Yes, identify for each:				<input type="checkbox"/> No	<input type="checkbox"/> Yes
Firm Name		Person	Nature of Business Relationship		
B. Identify your firm's management personnel who control your firm in the following areas (If more than two persons, attach a separate sheet):					
Name		Title	Ethnicity	Gender	
(1) Financial Decisions <i>(responsibility for acquisition of lines of credit, surety bonding, supplies, etc.)</i>	a.				
	b.				
(2) Estimating and bidding	a.				
	b.				
(3) Negotiating and Contract Execution	a.				
	b.				
(4) Hiring/firing of management personnel	a.				
	b.				
(5) Field/Production Operations Supervisor	a.				
	b.				
(6) Office management	a.				
	b.				
(7) Marketing/Sales	a.				
	b.				
(8) Purchasing of major equipment	a.				
	b.				
(9) Authorized to Sign Company Checks (for any purpose)	a.				
	b.				
(10) Authorized to make Financial Transactions	a.				
	b.				

11) Do any of the persons listed in (1) through (10) above perform a management or supervisory function for any other business? If Yes, identify for each:			<input type="checkbox"/> No	<input type="checkbox"/> Yes
Person	Title	Business	Function	
12) Do any of the persons listed in (1) through (10) above own or work for any other firm(s) that has a relationship with this firm (e.g., ownership interest, shared office space, financial investments, equipment, leases, personnel sharing, etc.)? If Yes, identify for each:			<input type="checkbox"/> No	<input type="checkbox"/> Yes
Firm Name	Person	Nature of Business Relationship		
C. Indicate your firm's inventory in the following categories (attach additional sheets if needed):				
Equipment				
Type of Equipment	Make/Model	Current Value	Owned or Leased?	
(a)				
(b)				
(c)				
Vehicles				
Type of Vehicle	Make/Model	Current Value	Owned or Leased?	
(a)				
(b)				
(c)				
Office Space				
Street Address		Owned or Leased?	Current Value of Property or Lease	
(a)				
(b)				
Storage Space				
Street Address		Owned or Leased?	Current Value of Property or Lease	
(a)				
(b)				
D. Does your firm rely on any other firm for management functions or employee payroll? If Yes, explain:			<input type="checkbox"/> No	<input type="checkbox"/> Yes

E. Financial Information					
(1) Banking Information:					
(a) Name of Bank:			(b) Telephone Number:		
(c) Address of Bank:					
City:			State:	Zip Code:	
(2) Bonding Information:					
If you have bonding capacity, identify:			(a) Binder No:		
(b) Name of Agent/Broker:			(c) Telephone Number:		
(d) Address of Agent/Broker:					
City:			State:	Zip Code:	
(e) Bonding limit: Aggregate Limit		\$	Project Limit	\$	
F. Identify all sources, amounts, and purposes of money loaned to your firm, including the names of any persons or firms securing the loan, if other than the listed owner:					
Name of Source	Address Of Source	Name of Person Securing Loan	Original Amount	Current Balance	Purpose Of Loan
1.					
2.					
3.					
G. List all contributions or transfers of assets to/from your firm and to/from any of its owners over the past two years (attach additional sheets if needed):					
Contribution/Asset	Dollar Value	From Whom Transferred	To Whom Transferred	Relationship	Date of Transfer
1.					
2.					
3.					
H. List current licenses/permits held by any owner and/or employee of your firm (e.g. contractor, engineer, architect, etc.) (Attach additional sheets if needed):					
Name of License/Permit Holder	Type of License/Permit		Expiration Date	License Number & State	
1.					
2.					
3.					
I. List the three largest contracts completed by your firm in the past three years, if any:					
Name of Owner/Contractor	Name/Location of Project	Type of Work Performed		Dollar Value of Contract	
1.					
2.					
3.					

J. List the three largest active jobs on which your firm is currently working:					
Name of Prime Contractor & Project Number	Location of Project	Type of Work	Project Start Date	Anticipated Completion Date	Dollar Value of Contract
1.					
2.					
3.					

AFFIDAVIT OF CERTIFICATION

This form must be signed and notarized for each owner upon which disadvantaged status is relied.

A MATERIAL OR FALSE STATEMENT OR OMISSION MADE IN CONNECTION WITH THIS APPLICATION IS SUFFICIENT CAUSE FOR DENIAL OF CERTIFICATION, REVOCATION OF A PRIOR APPROVAL, INITIATION OF SUSPENSION OR DEBARMENT PROCEEDINGS, AND MAY SUBJECT THE PERSON AND/OR ENTITY MAKING THE FALSE STATEMENT TO ANY AND ALL CIVIL AND CRIMINAL PEALTIES AVAILABLE PURSUANT TO APPLICABLE FEDERAL AND STATE LAW.

I _____ (full name printed), swear or affirm under penalty of law that I am _____ (title) of applicant firm _____ (firm name) and that I have read and understood all of the questions in this application and that all of the foregoing information and statements submitted in this application and its attachments and supporting documents are true and correct to the best of my knowledge, and that all responses to the questions are full and complete, omitting no material information. The responses include all material information necessary to fully and accurately identify and explain the operations, capabilities and pertinent history of the named firm as well as the ownership, control, and affiliations thereof.

I recognize that the information submitted in this application is for the purpose of inducing certification approval by a government agency. I understand that a government agency may, by means it deems appropriate, determine the accuracy and truth of the statements in the application, and I authorize such agency to contact any entity named in the application, and the named firm’s bonding companies, banking institutions, credit agencies, contractors, clients, and other certifying agencies for the purpose of verifying the information supplied and determining the named firm’s eligibility.

I agree to submit to government audit, examination and review of books, records, documents and files, in whatever form they exist, of the named firm and its affiliates, inspection of its places(s) of business and equipment, and to permit interviews of its principals, agents, and employees. I understand that refusal to permit such inquiries shall be grounds for denial of certification.

If awarded a contract or subcontract, I agree to promptly and directly provide the prime contractor, if any, and the Department, recipient agency, or federal funding agency on an ongoing basis, current, complete and accurate information regarding (1) work performed on the project; (2) payments; and (3) proposed changes, if any, to the foregoing arrangements.

I agree to provide written notice to the recipient agency or Unified Certification Program (UCP) of any material change in the information contained in the original application within 30 calendar days of such change (e.g., ownership, address, telephone number, etc.).

I acknowledge and agree that any misrepresentations in this application or in records pertaining to a contract or subcontract will be grounds for terminating any contract or subcontract which may be awarded; denial or revocation of certification; suspension and debarment; and for initiating action under federal and/or state law concerning false statement, fraud or other applicable offenses.

I certify that I am a socially and economically disadvantaged individual who is an owner of the above-referenced firm seeking certification as a Disadvantaged Business Enterprise (DBE). In support of my application, I certify that I am a member of one or more of the following groups, and that I have held myself out as a member of the group(s) (mark all that apply):

- Female
- Black American
- Hispanic American
- Native American
- Asian- Pacific American
- Subcontinent Asian American
- Other (specify) _____

I certify that I am socially disadvantaged because I have been subjected to racial or ethnic prejudice or cultural bias, or have suffered the effects of discrimination, because of my identity as a member of one or more of the groups identified above, without regard to my individual qualities.

I further certify that my personal net worth does not exceed \$750,000, and that I am economically disadvantaged because my ability to compete in the free enterprise system has been impaired due to diminished capital and credit opportunities as compared to others in the same or similar line of business who are not socially and economically disadvantaged.

I declare, under penalty of perjury, that the information provided in this application and supporting documents is true and correct.

*Signature		*Signature	
Printed name		Printed name	
Title		Title	
Date		Date	

***Must be signed by the individual or individuals asserting disadvantaged status.**

NOTARY PUBLIC

On this ____ day of _____ 2 ____ before me appeared _____
 and _____ who, being duly sworn, did execute the fore-
 going affidavit, and did state they were properly authorized by the above-named DBE firm to execute this affidavit, and that they
 did so as their free act and deed.

Signed _____ Notary Public.

My Commission expires:

DBE UNIFORM CERTIFICATION APPLICATION SUPPORTING DOCUMENTS CHECKLIST
In order to complete your application for DBE certification, you must attach copies of all of the following documents as they apply to you and your firm.

All Applicants

- Work experience resumes (that include places of ownership/employment with corresponding dates), for all owners and officers of your firm
- Personal Financial Statement (form available with this application)
- Personal tax returns for the past three years, if applicable, for each owner claiming disadvantaged status
- Your firm's tax returns (gross receipts) and all related schedules for the past three years
- Documented proof of contributions used to acquire ownership for each owner (*e.g. both sides of cancelled checks*)
- Your firm's signed loan agreements, security agreements, and bonding forms
- Descriptions of all real estate (including office/storage space, etc.) owned/leased by your firm and documented proof of ownership/signed leases
- List of equipment leased and signed lease agreements
- List of construction equipment and/or vehicles owned and titles/proof of ownership
- Documented proof of any transfers of assets to/from your firm and/or to/from any of its owners over the past two years
- Year-end balance sheets and income statements for the past three years (or life of firm, if less than three years); a new business must provide a current balance sheet
- All relevant licenses, license renewal forms, permits, and haul authority forms
- DBE and SBA 8(a) or SDB certifications, denials, and/or decertifications, if applicable
- Bank authorization and signatory cards
- 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

Partnership or Joint Venture

- Original and any amended Partnership or Joint Venture Agreements

Corporation or LLC

- Official Articles of Incorporation (signed by the state official)
- Both sides of all corporate stock certificates and your firm's stock transfer ledger
- Shareholders' Agreement
- Minutes of all stockholders and board of directors meetings
- Corporate by-laws and any amendments
- Corporate bank resolution and bank signature cards
- Official Certificate of Formation and Operating Agreement with any amendments (for LLCs)

Trucking Company

- Documented proof of ownership of the company
- Insurance agreements for each truck owned or operated by your firm
- Title(s) and registration certificate(s) for each truck owned or operated by your firm
- List of U.S. DOT numbers for each truck owned or operated by your firm

Regular Dealer

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

NOTE: The specific state UCP to which you are applying may have additional required documents that you must also supply with your application. Contact the appropriate certifying agency to which you are applying to find out if more is required.