

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

UNIFORM CERTIFICATION APPLICATION

ROADMAP FOR APPLICANTS

■ **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.

■ **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.**

■ **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.**

■ **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 1: CERTIFICATION INFORMATION

A. Prior/Other Certifications

| | | |
|---|-------------------------------|---|
| Is your firm currently certified for any of the following programs? <i>(If Yes, check appropriate box(es))</i> | <input type="checkbox"/> DBE | Name of certifying agency: |
| | | Has your firm's state UCP conducted an on-site visit? |
| | | <input type="checkbox"/> Yes, on ___/___/___ State: _____ <input type="checkbox"/> No |
| | <input type="checkbox"/> 8(a) | ⊗ STOP! If you checked either the 8(a) or SDB box, you <u>may not</u> have to complete this application. Ask your state UCP about the streamlined application process under the SBA-DOT MOU. |
| | <input type="checkbox"/> SDB | |

B. Prior/Other Applications and Privileges

Has your firm (under any name) or any of its owners, Board of Directors, officers or management personnel, ever withdrawn an application for any of the programs listed above, or ever been denied certification, decertified, or debarred or suspended or otherwise had bidding privileges denied or restricted by any state or local agency, or Federal entity?

Yes, on ___/___/___ No

If Yes, identify State and name of state, local, or Federal agency and explain the nature of the action:

Section 2: GENERAL INFORMATION

A. Contact Information

| | | | | |
|---|--------------------|------------------------------------|----------------|------------------|
| (1) Contact person and Title: | | (2) Legal name of firm: | | |
| (3) Phone #: | (4) Other Phone #: | (5) Fax #: | | |
| (6) E-mail: | | (7) Website <i>(if have one)</i> : | | |
| (8) Street address of firm <i>(No P.O. Box)</i> : | | City: | County/Parish: | State: Zip: |
| (9) Mailing address of firm <i>(if different)</i> : | | City: | County/Parish: | State: Zip: |

B. Business Profile

| | |
|--|---|
| (1) Describe the primary activities of your firm: | (2) Federal Tax ID (if any): |
| (3) This firm was established on ___/___/___ | (4) I/We have owned this firm since: ___/___/___ |
| (5) Method of acquisition <i>(check all that apply)</i> : <input type="checkbox"/> Started new business <input type="checkbox"/> Bought existing business <input type="checkbox"/> Inherited business <input type="checkbox"/> Secured concession <input type="checkbox"/> Merger or consolidation <input type="checkbox"/> Other <i>(explain)</i> _____ | |
| (6) Is your firm "for profit"? <input type="checkbox"/> Yes <input type="checkbox"/> No | ⊗ STOP! If your firm is NOT for-profit, then you do NOT qualify for this program and do NOT need to fill out this application. |

(7) Type of firm (check all that apply):

- Sole Proprietorship
- Partnership
- Corporation
- Limited Liability Partnership
- Limited Liability Corporation
- Joint Venture
- Other, Describe: _____

(8) Has your firm ever existed under different ownership, a different type of ownership, or a different name?
 Yes No
 If Yes, explain: _____

(9) Number of employees: Full-time _____ Part-time _____ Total _____

(10) Specify the gross receipts of the firm for the last 3 years: Year _____ Total receipts \$ _____
 Year _____ Total receipts \$ _____
 Year _____ Total receipts \$ _____

C. Relationships with Other Businesses

(1) Is your firm co-located at any of its business locations, or does it share a telephone number, P.O. Box, office space, yard, warehouse, facilities, equipment, or office staff, with any other business, organization, or entity?
 Yes No

If Yes, identify: Other Firm's name: _____
 Explain nature of shared facilities: _____

| | |
|--|--|
| (2) At present, or at any time in the past, has your firm: | (a) been a subsidiary of any other firm? <input type="checkbox"/> Yes <input type="checkbox"/> No |
| | (b) consisted of a partnership in which one or more of the partners are other firms? <input type="checkbox"/> Yes <input type="checkbox"/> No |
| | (c) owned any percentage of any other firm? <input type="checkbox"/> Yes <input type="checkbox"/> No |
| | (d) had any subsidiaries? <input type="checkbox"/> Yes <input type="checkbox"/> No |

(3) Has any other firm had an ownership interest in your firm at present or at any time in the past? Yes No

(4) If you answered "Yes" to any of the questions in (2)(a)-(d) and/or (3), identify the following for each (attach extra sheets, if needed):

| | <u>Name</u> | <u>Address</u> | <u>Type of Business</u> |
|----|-------------|----------------|-------------------------|
| 1. | | | |
| 2. | | | |
| 3. | | | |

D. Immediate Family Member Businesses

Do any of your immediate family members own or manage another company? Yes No

If Yes, then list (attach extra sheets, if needed):

| | <u>Name</u> | <u>Relationship</u> | <u>Company</u> | <u>Type of Business</u> | <u>Own or Manage?</u> |
|----|-------------|---------------------|----------------|-------------------------|-----------------------|
| 1. | | | | | |
| 2. | | | | | |

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"/> Male <input type="checkbox"/> Female | (6) Ethnic group membership <i>(Check all that apply)</i> : <input type="checkbox"/> Black <input type="checkbox"/> Hispanic <input type="checkbox"/> Native American <input type="checkbox"/> Asian Pacific <input type="checkbox"/> Subcontinent Asian <input type="checkbox"/> Other <i>(specify)</i> _____ | |
| (7) U.S. Citizen: <input type="checkbox"/> Yes <input type="checkbox"/> No | | |
| (8) Lawfully Admitted Permanent Resident: <input type="checkbox"/> Yes <input type="checkbox"/> No | | |

B. Ownership Interest

| | | | |
|--|---|-------------|---------------------|
| (1) Number of years as owner: | (2) Initial investment to acquire ownership interest in firm: | <u>Type</u> | <u>Dollar Value</u> |
| (3) Percentage owned: | | Cash | \$ |
| (4) Familial relationship to other owners: | | Real Estate | \$ |
| | | Equipment | \$ |
| | | Other | \$ |
| (5) Shares of Stock: <u>Number</u> <u>Percentage</u> <u>Class</u> <u>Date acquired</u> <u>Method Acquired</u> | | | |
| (6) Does this owner perform a management or supervisory function for any other business? <input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, identify: 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> ? <input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, identify: Name of Business: _____ Function/Title: _____ Nature of Business Relationship: _____ | | | |

C. Disadvantaged Status – NOTE: Complete this section only 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? <i>(Use and attach the Personal Financial Statement form at the end of this application; attach additional sheets if more than one owner is applying)</i> |
| (2) Has any trust been created for the benefit of this disadvantaged owner(s)? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No 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? Yes No

If Yes, identify for each: 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.)? Yes No

If Yes, identify for each: 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? Yes No
 If Yes, identify for each: 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.)?
 Yes No

If Yes, identify for each: Firm Name: _____ Person: _____
 Nature of Business Relationship:

C. Indicate your firm's inventory in the following categories (attach additional sheets if needed):

(1) Equipment

| Type of Equipment | Make/Model | Current Value | Owned or Leased? |
|-------------------|------------|---------------|------------------|
| (a) | | | |
| (b) | | | |
| (c) | | | |
| (d) | | | |

(2) Vehicles

| Type of Vehicle | Make/Model | Current Value | Owned or Leased? |
|-----------------|------------|---------------|------------------|
| (a) | | | |
| (b) | | | |
| (c) | | | |
| (d) | | | |
| (e) | | | |

(3) Office Space

| Street Address | Owned or Leased? | Current Value of Property or Lease |
|----------------|------------------|------------------------------------|
| (a) | | |
| (b) | | |

(4) 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? Yes No

If Yes, explain:

E. Financial Information

(1) Banking Information:

(a) Name of bank: _____ (b) Phone Number: () _____

(c) Address of bank: _____ City: _____ State: _____ Zip: _____

(2) Bonding Information: If you have bonding capacity, identify: (a) Binder No: _____

(b) Name of agent/broker _____ (c) Phone No: () _____

(d) Address of agent/broker: _____ City: _____ State: _____ Zip: _____

(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 the 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 and 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 and Project Number | Location of Project | Type of Work | Project Start Date | Anticipated Completion Date | Dollar Value of Contract |
|---|---------------------|--------------|--------------------|-----------------------------|--------------------------|
| 1. | | | | | |
| 2. | | | | | |
| 3. | | | | | |