MARYLAND DEPARTMENT OF TRANSPORTATION

SMALL BUSINESS ENTERPRISE (SBE) DOCUMENT CHECKLIST

1. ☐ Completed SBE CERTIFICATION APPLICATION. **Complete all sections of the application** to include listing **ALL** owners and the 6-digit NAICS codes requested. If a section does not apply to your business, please 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. ☐ **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).
4. ☐ 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** 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**.
5. ☐ Complete copy of **personal federal tax returns** for the past three (3) years for each owner constituting 51% ownership. Taxes are **REQUIRED** to have a **wet ink signature and date**. **If filing jointly both signatures are required**. Include **ALL** schedules, statements, attachments, worksheets, and footnotes.
6. ☐ Complete copy of **business federal tax returns** for the past five **(5) years or life of the business**. 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**.
7. ☐ **Additional Businesses Owned. Please provide business taxes for other businesses owned by the applicant for the past 5 years or life of the business.** 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 pages of the Schedules C for the past five (5) years**.
8. ☐ **Year-end financial statements** of the applicant firm for the past three (3) years or the life of the firm is less than three years. A new business **MUST** provide a current Financial statement; non-CPA statements are acceptable.

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.

Document information

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