

DBE New Application Document Checklist

Please use the checklist below to prepare the required documents into sections. The section headers correspond to the document upload area in your application portal. For each section, compile all the documents, then scan them into one file. You can then upload that file in application portal. If you prefer to send paper copies, you must print and fill out a title sheet for each section below and use it as a separator between the sections of documents.

Application Materials

- ☐ Uniform Certification Application (UCA)
- ☐ Affidavit of Certification **(for each applicable owner)**
- ☐ Personal Financial 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 past three years **(for each applicable owner)**

- ☐ Most recent year
- ☐ Second year
- ☐ Third year

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

- ☐ Most recent year
- ☐ Second year
- ☐ Third year

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

- ☐ Most recent year
- ☐ Second year
- ☐ Third year

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 documents

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

LLC

- ☐ Official Articles and Certificate of Formation
- ☐ 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