

RETURN AFFIDAVIT TO:  
 MINORITY BUSINESS ENTERPRISE OFFICE  
 MARYLAND DEPARTMENT OF TRANSPORTATION  
 7201 CORPORATE CENTER DRIVE  
 P.O. BOX 548  
 CORPORATE CENTER DRIVE  
 HANOVER, MARYLAND 21076  
 410-865-1269  
 1-800-544-6056



Complete all items. If an item does not apply, mark "N.A."

Use separator sheets for additional information.

**MINORITY BUSINESS ENTERPRISE DISCLOSURE AFFIDAVIT**

Application is hereby made by the organization identified below for certification as a Minority Business Enterprise under the MBE Program of the Maryland Department of Transportation pursuant to Title 14, Subtitle 3 of the State Finance and Procurement Article of the Annotated

<b>1. NAME AND ADDRESS</b> Name _____ dba _____ Address1 _____ Address2 _____ City _____ State ____ Zip Code _____ Email _____ Internet address _____	<b>2. CONTROLLING INTEREST (check appropriate box)</b> <input type="checkbox"/> African American <input type="checkbox"/> Alaskan Native <b>CITIZENSHIP</b> <input type="checkbox"/> Hispanic <input type="checkbox"/> Asian American <input type="checkbox"/> U.S. Citizen <input type="checkbox"/> Native American <input type="checkbox"/> *Disabled <input type="checkbox"/> Resident Alien <input type="checkbox"/> Female  *Not accorded minority status on Federally funded projects.
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<b>3. CONTACT PERSON</b> Name _____ Title _____ Telephone _____ Fax _____	<b>4. OWNER</b> Name _____ Title _____ Telephone _____ Fax _____
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<b>5. LIST THE NAMES OF THE OFFICERS OF THE COMPANY</b> PRESIDENT _____ VICE PRESIDENT _____ SECRETARY _____ TREASURER _____ OTHER _____	<b>MINORITY</b> YES    NO <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<b>DATES ELECTED / APPOINTED</b> _____ _____ _____ _____
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<b>6. NAMES OF CURRENT BOARD OF DIRECTORS</b> _____ _____ _____ _____ _____	<b>MINORITY</b> YES    NO <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<b>DATE ELECTED</b> _____ _____ _____ _____	<b>HOME ADDRESS</b> (NUMBER, STREET, CITY, STATE, ZIP CODE) _____ _____ _____ _____
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<b>7. NAMES OF BOARD OF DIRECTORS IMMEDIATELY PRIOR TO CURRENT BOARD</b> _____ _____ _____ _____ _____	<b>MINORITY</b> YES    NO <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<b>DATE ELECTED</b> _____ _____ _____ _____	<b>HOME ADDRESS</b> (NUMBER, STREET, CITY, STATE, ZIP CODE) _____ _____ _____ _____
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**8. LIST OF PRODUCT(S)/SERVICE(S) OFFERED. BE SPECIFIC. IF KNOWN, LIST NORTH AMERICAN INDUSTRY CLASSIFICATION SYSTEM (NAICS) CODE NUMBER FOR EACH ITEM LISTED.**

\_\_\_\_\_

\_\_\_\_\_

<b>9. TYPE OF OWNERSHIP? IF NOT A MARYLAND CORPORATION, SUBMIT A COPY OF REGISTRATION IN MARYLAND AS A FOREIGN CORPORATION (CHECK ONE)</b> <input type="checkbox"/> Corporation    Date incorporated _____ State _____ <input type="checkbox"/> Partnership    Date incorporated _____ <input type="checkbox"/> Date of LLC Agreement _____	<b>10. DOES YOUR COMPANY OWN MAJOR EQUIPMENT?</b> <input type="checkbox"/> YES <input type="checkbox"/> NO List on a separate sheet, by type and quantity, major equipment owned. <b>DO NOT LIST RENTAL OR LEASED EQUIPMENT.</b> Is the equipment listed in your possession? <input type="checkbox"/> YES <input type="checkbox"/> NO
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FORM D-EEO-001A (JULY—2003)  
 A material misstatement of fact is sufficient cause for denial of certification. The affiant is subject to penalties for perjury and false statements made in the affidavit.

<p>11. LIST NUMBER OF EMPLOYEES ON PAYROLL (DO NOT LIST EMPLOYEES TWICE)</p> <table style="width:100%; border-collapse: collapse;"> <thead> <tr> <th style="width:70%;"></th> <th style="width:15%; text-align: center;">FULL TIME</th> <th style="width:15%; text-align: center;">PART-TIME</th> </tr> </thead> <tbody> <tr><td>ADMINISTRATIVE</td><td style="text-align: center;">_____</td><td style="text-align: center;">_____</td></tr> <tr><td>CLERICAL</td><td style="text-align: center;">_____</td><td style="text-align: center;">_____</td></tr> <tr><td>SUPERVISOR</td><td style="text-align: center;">_____</td><td style="text-align: center;">_____</td></tr> <tr><td>EQUIPMENT OPERATOR</td><td style="text-align: center;">_____</td><td style="text-align: center;">_____</td></tr> <tr><td>SKILLED LABORER</td><td style="text-align: center;">_____</td><td style="text-align: center;">_____</td></tr> <tr><td>UNSKILLED LABORER</td><td style="text-align: center;">_____</td><td style="text-align: center;">_____</td></tr> </tbody> </table> <p>ARE EMPLOYEE PAYROOL REPORTS BEING FILED WITH:  <input type="checkbox"/> STATE AGENCIES    <input type="checkbox"/> FEDERAL AGENCIES  PLEASE SUBMIT THE LAST FOUR (4) QUARTERLY REPORTS.</p>		FULL TIME	PART-TIME	ADMINISTRATIVE	_____	_____	CLERICAL	_____	_____	SUPERVISOR	_____	_____	EQUIPMENT OPERATOR	_____	_____	SKILLED LABORER	_____	_____	UNSKILLED LABORER	_____	_____	<p>12. FEDERAL IDENTIFICATION NUMBER _____</p> <p>SOCIAL SECURITY NUMBER _____</p> <p>MD EMPLOYER NUMBER _____</p> <hr/> <p>13. HAVE YOU PREVIOUSLY APPLIED FOR OR BEEN MDOT:  <input type="checkbox"/> CERTIFIED    <input type="checkbox"/> DENIED    (PLEASE CHECK)</p> <p>TO APPLY FOR MDOT CERTIFICATION, YOU MUST BE CERTIFIED IN YOUR HOME STATE. PLEASE SUBMIT A COPY OF YOUR HOME CERTIFICATION LETTER AND ON-SITE REPORT.</p>
	FULL TIME	PART-TIME																				
ADMINISTRATIVE	_____	_____																				
CLERICAL	_____	_____																				
SUPERVISOR	_____	_____																				
EQUIPMENT OPERATOR	_____	_____																				
SKILLED LABORER	_____	_____																				
UNSKILLED LABORER	_____	_____																				

<p>14. WHO DETERMINES WHAT JOBS THE COMPANY WILL UNDERTAKE?</p> <p>Name _____</p> <p>Title _____</p>	<p>15. WHO WILL BE RESPONSIBLE FOR ON-SITE PROJECT SUPERVISION?</p> <p>NAME _____</p> <p>TITLE _____</p>
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16. SHAREHOLDERS	NAME	MINORITY		CLASS COMMON OR PREFERRED	NUMBER OF SHARES	VOTING PERCENTAGE	TOTAL COST	DATE OF OWNERSHIP
		YES	NO					
_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	_____	_____	_____	_____	_____
_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	_____	_____	_____	_____	_____
_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	_____	_____	_____	_____	_____
_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	_____	_____	_____	_____	_____

\_TOTAL NUMBER OF SHARES: \_\_\_\_\_ ISSUED    IS THIS A HOLDING OR SUBSIDIARY COMPANY?  YES     NO  
\_\_\_\_\_ OUTSTANDING    IF YOUR FIRM IS OWNED IN FULL OR IN PART BY ANOTHER COMPANY, LIST ON A SEPARATE SHEET THE COMPANY'S SHAREHOLDERS TO INCLUDE PERCENTAGE OF OWNERSHIP INTEREST, AND THE NAMES AND ADDRESSES OF DIRECTORS AND OFFICERS. IF MINORITIES, NO INDICATE.

17. LIST THE 3 LARGEST PROJECTS IN DOLLAR AMOUNTS COMPLETED BY YOUR BUSINESS DURING THE LAST THREE YEARS

(1) A. PRIME CONTRACTOR

Name \_\_\_\_\_

Address \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ ZIP CODE \_\_\_\_\_

Telephone \_\_\_\_\_

B. PROJECT IDENTIFICATION: \_\_\_\_\_

C. TOTAL DOLLAR AMOUNT OF MBE PORTION OF THIS PROJECT: \_\_\_\_\_  
YOUR SHARE OF THE MBE PORTION: \_\_\_\_\_

D. TYPE OF WORK PERFORMED (USE SIC AND NAICS CODES, IF KNOWN): \_\_\_\_\_

(2) A. PRIME CONTRACTOR

Name \_\_\_\_\_

Address \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ ZIP CODE \_\_\_\_\_

Telephone \_\_\_\_\_

B. PROJECT IDENTIFICATION: \_\_\_\_\_

C. TOTAL DOLLAR AMOUNT OF MBE PORTION OF THIS PROJECT: \_\_\_\_\_  
YOUR SHARE OF THE MBE PORTION: \_\_\_\_\_

D. TYPE OF WORK PERFORMED (USE SIC AND NAICS CODES, IF KNOWN): \_\_\_\_\_

(3) A. PRIME CONTRACTOR

Name \_\_\_\_\_

Address \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ ZIP CODE \_\_\_\_\_

Telephone \_\_\_\_\_

B. PROJECT IDENTIFICATION: \_\_\_\_\_

C. TOTAL DOLLAR AMOUNT OF MBE PORTION OF THIS PROJECT: \_\_\_\_\_  
YOUR SHARE OF THE MBE PORTION: \_\_\_\_\_

D. TYPE OF WORK PERFORMED (USE SIC AND NAICS CODES, IF KNOWN): \_\_\_\_\_

18. LIST ALL SOURCES AND AMOUNTS OF MONEY LOANED TO THE CORPORATION

SOURCE	AMOUNT
_____	_____
_____	_____
_____	_____
_____	_____

20. HAS YOUR FIRM BEEN APPROVED BY THE FEDERAL SMALL BUSINESS ADMINISTRATION 8(a) PROGRAM?  YES  NO  
 IF YES, FURNISH A COPY OF APPROVAL LETTER \_\_\_\_\_

21. NAME, ADDRESS AND TELEPHONE NUMBER OF CPA OR ACCOUNTANT

Name \_\_\_\_\_  
 Address \_\_\_\_\_  
 City \_\_\_\_\_  
 State \_\_\_\_\_ Zip Code \_\_\_\_\_  
 Telephone \_\_\_\_\_

19. IDENTIFY YOUR CURRENT BONDING COMPANY AND BANK(S) BONDING COMPANY BANK ACCOUNT NUMBERS

_____	_____
_____	_____
_____	_____
_____	_____

22. NAME, ADDRESS AND TELEPHONE NUMBER OF CPA OR ACCOUNTANT

Name \_\_\_\_\_  
 Address \_\_\_\_\_  
 City \_\_\_\_\_  
 State \_\_\_\_\_ Zip Code \_\_\_\_\_  
 Telephone \_\_\_\_\_

23. WERE YOU ISSUED A PERFORMANCE BOND?  
 YES  NO IF YES, HOW MUCH? \_\_\_\_\_

24. WHO NEGOTIATES AND SIGNS FOR SURETY BONDS AND WHO SIGNS FOR INSURANCE AND PAYROLL?

	NAME	TITLE
A. SURETY AND / OR PERFORMANCE BONDS	_____	_____
B. INSURANCE	_____	_____
C. PAYROLL	_____	_____

25. ALL ORAL AND TACIT AGREEMENTS SHALL BE REDUCED TO WRITING AND SUBMITTED WITH THIS AFFIDAVIT. IF THERE ARE NO WRITTEN, ORAL, OR TACIT AGREEMENTS CONCERNING THE OPERATION OF THE COMPANY, PLEASE AFFIRM BY SIGNING BELOW.

"THERE ARE NO WRITTEN, ORAL OR TACIT AGREEMENTS CONCERNING THE OPERATION OF THE COMPANY BETWEEN ANY PERSONS ASSOCIATED WITH THE COMPANY"

\_\_\_\_\_  
SIGNATURE OF APPLICANT

FREEDOM OF INFORMATION: THE RELEASE OF STATE DOCUMENTS IS GOVERNED BY THE APPROPRIATE FEDERAL AND STATE REGULATIONS.

**FRAUD**

A PERSON MAY NOT: FRAUDULENTLY OBTAIN, RETAIN, ATTEMPT TO OBTAIN OR RETAIN, OR AID ANOTHER IN FRAUDULENTLY OBTAINING OR RETAINING OR ATTEMPTING TO OBTAIN OR RETAIN CERTIFICATION AS A MINORITY BUSINESS ENTERPRISE FOR THE PURPOSE OF THIS SUBTITLE:

WILLFULLY MAKE A FALSE STATEMENT, WHETHER BY AFFIDAVIT, REPORT, OR OTHER REPRESENTATION, TO A STATE OFFICIAL OR EMPLOYEE FOR THE PURPOSE OF INFLUENCING THE CERTIFICATION OR DENIAL OF CERTIFICATION OF ANY ENTITY AS A MINORITY BUSINESS ENTERPRISE:

FRAUDULENTLY OBTAIN, ATTEMPT TO OBTAIN, OR AID ANOTHER PERSON IN FRAUDULENTLY OBTAINING OR ATTEMPTING TO OBTAIN, PUBLIC MONIES TO WHICH THE PERSON IS NOT ENTITLED UNDER THIS SUBTITLE.

ANY PERSON WHO VIOLATES THE PROVISIONS OF SUBSECTION IS GUILTY OF A FELONY AND UPON CONVICTION IS SUBJECT TO IMPRISONMENT FOR A PERIOD OF NOT LONGER THAN 5 YEARS, OR FINE OF NOT MORE THAN \$ 10,000.00 OR BOTH.

A PERSON MY NOT WILLFULLY MAKE FALSE STATEMENTS THAT ANY ENTITY IS OR IS NOT CERTIFIED AS A MINORITY BUSINESS ENTERPRISE FOR PURPOSES OF THIS SUBTITLE. ANY PERSON WHO VIOLATES THE PROVISIONS OF THIS SUBSECTION IS GUILTY OF A MISDEMEANOR AND UPON CONVICTION IS SUBJECT TO IMPRISONMENT FOR A PERIOD OF NOT MORE THAN 6 MONTHS, OR A FINE OF NOT MORE THAN \$500.00 OR BOTH. (TITLE 14, SECTION 14-308 OF THE STATE FINANCE AND PROCUREMENT ARTICLE OF THE ANNOTATED CODE OF MARYLAND)

I HAVE READ THE FRAUD STATUTE

\_\_\_\_\_  
SIGNATURE OF APPLICANT

THIS DISCLOSURE AFFIDAVIT INCLUDES ALL MATERIAL INFORMATION NECESSARY TO IDENTIFY AND TO EXPLAIN THE OPERATIONS OF (NAME OF BUSINESS)

(HEREINAFTER "APPLICANT") IN ORDER TO DETERMINE IF APPLICANT IS A BONAFIDE MINORITY BUSINESS ENTERPRISE WHICH IS OWNED AND CONTROLLED BY MINORITIES IN ACCORDANCE WITH THE REQUIREMENTS OF THE MARYLAND DEPARTMENT OF TRANSPORTATION MINORITY BUSINESS ENTERPRISE PROGRAM MANUAL. FURTHER, THE UNDERSIGNED DOES COVENANT AND AGREE TO PROVIDE THE MARYLAND DEPARTMENT OF TRANSPORTATION INFORMATION REGARDING ACTUAL WORK PERFORMED ON A MARYLAND DEPARTMENT OF TRANSPORTATION PROJECT, THE PAYMENT THEREFORE, AND ANY PROPOSED CHANGES IN ANY OF THE ARRANGEMENTS HEREINABOVE STATED AND TO PERMIT AN AUDIT, TO INCLUDE INTERVIEW OF PRINCIPALS, EMPLOYEES, AND OFFICERS AND AN EXAMINATION OF THE BOOKS, RECORDS, AND FILES OF THE APPLICANT BY AUTHORIZED REPRESENTATIVES OF THE MARYLAND DEPARTMENT OF TRANSPORTATION OR THE FEDERAL GOVERNMENT PRIOR TO AND AFTER INCLUSION IN THE MARYLAND DEPARTMENT OF TRANSPORTATION MINORITY BUSINESS ENTERPRISE DIRECTORY AS DEEMED NECESSARY.

I ACKNOWLEDGE AND AGREE THAT REPRESENTATIVES OF THE MARYLAND DEPARTMENT OF TRANSPORTATION SHALL BE PERMITTED TO MAKE INQUIRIES OF CREDIT BUREAUS, BANKS, LENDING INSTITUTIONS, BONDING COMPANIES, VENDORS, SUPPLIERS, INSURANCE COMPANIES, AND PRIOR AND CURRENT CONTRACTORS CONCERNING THE FINANCIAL RESPONSIBILITY OF APPLICANT.

I ACKNOWLEDGE THAT THIS AFFIDAVIT IS TO BE FURNISHED TO THE SECRETARY OF THE MARYLAND DEPARTMENT OF TRANSPORTATION AND MAY BE DISTRIBUTED TO THE MARYLAND DEPARTMENT OF TRANSPORTATION MINORITY BUSINESS ENTERPRISE ADVISORY COMMITTEE AND MAY ALSO BE DISTRIBUTED TO BOARDS, COMMISSIONS, ADMINISTRATIONS, DEPARTMENTS AND AGENCIES OF: (1) THE STATE OF MARYLAND; AND (2) COUNTIES OR OTHER SUBDIVISIONS OF THE STATE OF MARYLAND; AND (3) OTHER STATES; AND (4) THE FEDERAL GOVERNMENT. I FURTHER ACKNOWLEDGE THAT THIS AFFIDAVIT IS SUBJECT TO APPLICABLE LAWS OF THE UNITED STATES AND THE STATE OF MARYLAND, BOTH CRIMINAL AND CIVIL, AND THAT NOTHING IN THIS AFFIDAVIT SHALL BE CONSTRUED TO SUPERSEDE, AMEND, MODIFY, OR WAIVE ON BEHALF OF THE MARYLAND DEPARTMENT OF TRANSPORTATION, THE MARYLAND BOARD OF PUBLIC WORKS AND ANY OTHER OFFICE OR AGENCY OF THE STATE OF MARYLAND HAVING JURISDICTION, THE EXERCISE OF ANY STATUTORY RIGHT OR REMEDY CONFERRED BY THE CONSTITUTION AND THE LAWS OF MARYLAND IN RESPECT TO ANY MISREPRESENTATION MADE OR ANY VIOLATION OF THE OBLIGATIONS, TERMS AND COVENANTS UNDERTAKEN BY THE ABOVE FIRM IN RESPECT TO THIS AFFIDAVIT.

I ACKNOWLEDGE AND AGREE THAT THE APPLICANT WILL BE REQUIRED TO APPEAR FOR INTERVIEW BY THE MARYLAND DEPARTMENT OF TRANSPORTATION MINORITY BUSINESS ENTERPRISE ADVISORY COMMITTEE.

I ACKNOWLEDGE THAT THE ELIGIBILITY OF THE APPLICANT FOR CERTIFICATION AS A MINORITY BUSINESS ENTERPRISE WILL BE DETERMINED AS OF THE DATE OF THE DISCLOSURE AFFIDAVIT, BASED ON THE INFORMATION AND DOCUMENTATION SUBMITTED HEREWITH, ANY CHANGES IN OWNERSHIP OR CONTROL MAY NOT BE CONSIDERED IN DETERMINING ELIGIBILITY.

I DO SOLEMNLY DECLARE AND AFFIRM UNDER THE PENALTIES OF PERJURY THAT THE CONTENTS OF THE FOREGOING DOCUMENT ARE TRUE AND CORRECT, AND THAT I AM AUTHORIZED, ON BEHALF OF THE ABOVE FIRM, TO MAKE THIS AFFIDAVIT.

DATE (MM/DD/YYYY)

SIGNATURE OF APPLICANT

TITLE

NOTARY CERTIFICATE

STATE OF: \_\_\_\_\_ COUNTY (CITY) OF: \_\_\_\_\_

ON THE: \_\_\_\_\_ OF \_\_\_\_\_ BEFORE ME. \_\_\_\_\_  
(DAY) (MONTH) (YEAR)

THE UNDERSIGNED OFFICER, PERSONALLY APPEARED \_\_\_\_\_ KNOWN TO ME TO BE PERSON DESCRIBED IN THE FOREGOING AFFIDAVIT AND ACKNOWLEDGED THAT HE (SHE) EXECUTED THE SAME IN THE CAPACITY THEREIN STATED AND FOR THE PURPOSES THEREIN CONTAINED AND THAT THE STATEMENTS CONTAINED THEREIN ARE TRUE AND CORRECT, IN WITNESS WHEREOF, I HEREUNTO SET MY HAND AND OFFICIAL SEAL.

SEAL

NOTARY PUBLIC \_\_\_\_\_

MY COMMISSION EXPIRES \_\_\_\_\_

TTY (410) 865-1342; Indicate any special needs or alternative format request (interpreter, large print, Braille, etc.) by calling:

VOICE  
(410) 865-1269  
1-800-544-6056

TTY  
(410) 865-1342

FAX NUMBER  
(410) 865-1309

INTERNET  
www.mdot.maryland.gov

Statement of disadvantage

Socially disadvantaged individuals are those who have been subjected to racial or ethnic prejudice or cultural bias within American society because of their identities as members of groups and without regard to their individual qualities. Economically disadvantaged individuals are socially disadvantaged individuals whose 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 disadvantaged. An individual whose personal net worth exceeds one million seven hundred thirteen thousand three hundred thirty three dollars (\$1,713,333) is not economically disadvantaged.

I hereby certify that I have read and understand the above statement and that I am both socially and economically disadvantaged.

\_\_\_\_\_
Date

\_\_\_\_\_
Name

State of Maryland

)

)

TO WIT:

\_\_\_\_\_ COUNTY

)

I HEREBY CERTIFY, that on the \_\_\_\_\_ day of \_\_\_\_\_, in the year \_\_\_\_\_, before the subscriber, a notary public of the State of Maryland, in and for the County aforesaid, personally appeared \_\_\_\_\_, known to me to be the person whose name is subscribed to the within instrument and acknowledged that he/she executed the same for the purposes therein contained.

IN WITNESS WHEREOF, I hereunto set my hand and official seal.

\_\_\_\_\_
Notary Public

My Commission expires: \_\_\_\_\_