



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.