

2021-117 AMENDMENT#1

(Dennis)

The Finance Committee offers the following amendment to the Substitute File No. 2021-117:

- (1) Create a new Section 111.610 establishing a trust fund known as the “JSEB Access to Capital Program Trust Fund” as follows:**

Sec. 111.610. – JSEB Access to Capital Program Trust Fund.

There is created within the General Trust and Agency Fund a trust fund account to be known as the JSEB Access to Capital Program Trust Fund, hereinafter called the “Fund.” All donations and contributions of money, including gifts and grants, and Council appropriations, if any, shall be deposited into the Fund to be used for the Access to Capital Program (the “Program”) provided in Chapter 126, Subpart C of the Code. All sums placed into the Fund, which shall include all interest earned or accrued thereon, are hereby appropriated and shall carry over fiscal years to be used for the Program purposes, functions, and goals provided in Chapter 126, Subpart C of the Code. The Director of Finance and Administration, or his/her designee, is authorized and directed to make disbursements from the Fund for Program purposes, functions and goals upon written requisition of the Chief of Procurement in consultation with the JSEB Administrator, subject to the availability of funds in the Fund. Nothing in this Section shall prohibit or otherwise limit any appropriations which may be made by Council to the Fund for use toward attaining the Program purposes, functions and goals described in Chapter 126, Subpart C of the Code.

Also add a cross-reference to the Trust Fund in 126.609(a)

- (2) Amend in its entirety Section 126.613(c)(12)(i) as follows:**

(c) To be certified as a JSEB, an individual owner must meet the following criteria:

(12) Be a business, including a sole proprietorship, partnership, corporation, limited liability company, or any other business or professional entity:

(i) Which business is at least 51 percent owned by one or more individuals who have held such ownership interests for at least one year and who have each met the criterion in paragraph (c)(1) provided that such business has been in existence for at least one year; and

- (3) Additional scrivener in Sections 126.604, 126.609, 126.613 and 126.621:**

- Modify the “micro-business JSEB” definition in Section 126.604 as follows:

“*micro-business JSEB*” shall mean a JSEB who has a personal net worth of \$300,000 or less and ~~be~~is at least a 51 percent majority owner of the business.

- Delete the strike-through/underline in Subsection 126.606(4) and (11)
- Modify **last sentence** in Section 126.609(a) as follows:

In the event a third-party ~~contract~~ serves as the Program Manager, such third-party Program Manager shall act as an agent of the City and is authorized to execute on behalf of the City all loan agreements and related documents authorized pursuant to the AC Program.

- Modify Section 126.609(d) as follows:

(d) The JSEB Administrator or the Program Manager shall host workshops no less than twice a year to inform potential JSEB participants about ~~available~~ the AC Program.

- Modify Section 126.613(3)(2) as follows:

(2) Consider whether present or recent family, or employer/employee relationships between the JSEBs owner(s) (s) of the applicant compromise the applicant's independence.

- Modify Section 126.621(c)(1) as follows:

(1) The challenge shall be made in writing to the ~~Director~~ JSEB Administrator and shall include all information relied upon by the challenging party.

Form Approved:

Office of General Counsel

Legislation Prepared By: Lawsikia J. Hodges

2021-117 AMENDMENT# 2

(Dennis)

The Finance Committee offers the following amendment to the Substitute File No. 2021-117:

(c) To be certified as a JSEB, an individual owner must meet the following criteria:

(2) Have a personal net worth, excluding personal residence, that is equal to or less than \$1,320,000, such personal net worth to only include ~~business value and assets (measured as book value)~~, ownership in other businesses, and all other assets personally owned or held in trust for the individual owner's benefit; provided, however, that, notwithstanding personal net worth, certification hereunder shall require that annual gross receipts, averaged over the immediately preceding three-year period, not exceed \$12,000,000. The averaged annual gross receipts and personal net worth maximum threshold amounts shall be subject to annual analysis by the JSEB Administrator and reviewed by the JSEB Monitoring Committee pursuant to Section 126.607 herein;

2021-117 AMENDMENT #3

(Dennis)

The Finance Committee offers the following amendment to the Substitute File No. 2021-117:

Add a new Section 7 as follows and renumber the remaining bill sections:

Section 7. Number of Years in the JSEB Program to be Reset for current JSEBs. The number of participation years in connection with a current JSEB's first prime contract or subcontract shall be reset at zero as of the effective date of this ordinance, and such JSEB shall be permitted to apply for certifications and re-certifications under the Program, as permitted, provided that such JSEB is otherwise in compliance with Program requirements.

2021-117 AMENDMENT #4

(Dennis)

The Finance Committee offers the following amendment to the Substitute File No. 2021-117:

- Repeal Chapter 24, Part 6, Section 24.605
- Create new Chapter 126, Part 10 (Equal Business Opportunity Division)
- Make other adjustments in Chapter 126 as necessary consistent with this amendment

2021-117 AMENDMENT #5

(Dennis)

The Finance Committee offers the following amendment to the Substitute File No. 2021-117:

- Repeal Chapter 24, Part 6, Section 24.604
- Create new Chapter 126, Part 11 (Ombudsman Office/Division)
- Make other adjustments in Chapter 126 as necessary consistent with this amendment

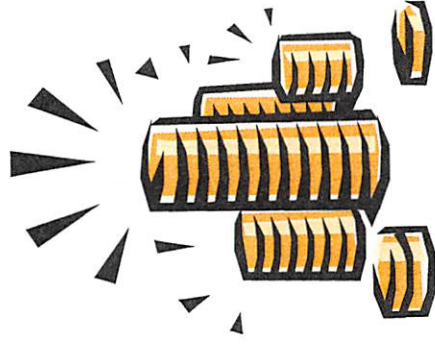
Net worth criterion:

After excluding the individual's legitimate retirement account(s), equity in the firm, and equity in the primary residence, net worth may not exceed:

\$250,000.00 for 8(a) eligibility/ \$750,000 for continued eligibility*.

NET WORTH (*assets less liabilities*)

less legitimate/qualified IRA/retirement account value(s)
less equity (*value - mtg. bal.*) in primary residence
less equity in business
equals *adjusted net worth*

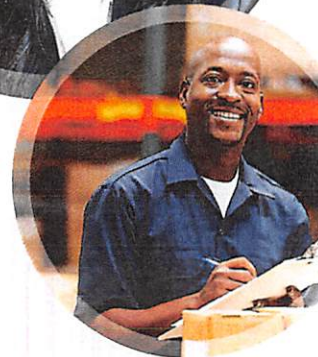


* 13 CFR § 124.104(b)(2)(i)- Contingent liabilities do not reduce the net worth.



Local Small Business Enterprise Program

FACT SHEET



What is the Local Small Business Enterprise Program?

A Local Business Enterprise Program or LSBE is a public contracting program designed to support the development and sustainability of small and very small (micro) businesses within a jurisdiction's service area.

What is the purpose of the LSBE Program?

The Jacksonville Transportation Authority (JTA) is implementing the LSBE Program to stimulate the local economy by supporting small businesses and promoting equal opportunities for the local business community.

Why did JTA decide to implement a LSBE Program?

The LSBE Program has the following objectives:

- Create significant prime contracting and subcontracting opportunities for small businesses located in Baker, Clay, Duval, Nassau and St. Johns counties
- Develop the capacity of small local businesses
- Increase the utilization of small local businesses on JTA's locally funded construction, professional services, and goods and services contracts
- Limit competition for small contracts to similarly situated micro-small businesses

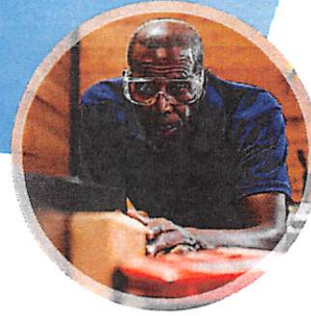


For more information:

(904) 632-5298

jtafla.com/dbeprogram

db1@jtafla.com



What are the requirements for the LSBE Program?

A LSBE:

- Is a for-profit business that is not a subsidiary of another business
- Has average annual gross receipts of **\$10 million or under**; if the business has not existed for five years, the gross annual receipts is based upon the annual averages over the course of the existence of the business
- The owner's personal net worth does not exceed **\$1.32 million** (excludes owner's interest in business and primary residence)
- Is headquartered in **Baker, Clay, Duval, Nassau or St. Johns county**

What are the requirements for the Micro-LSBE Program?

A micro-small business:

- Is owned and operated for-profit that is not a subsidiary of another business
- Has five-year average annual gross receipts of \$500,000 or under; if the business has not existed for five years, the gross annual receipts is based upon the annual averages over the course of the existence of the business
- The owner's personal net worth does not exceed **\$1.32 million** (excludes owner's interest in business and primary residence)
- Is headquartered in **Baker, Clay, Duval, Nassau or St. Johns county**
- Has been in operation for **12 consecutive months** prior to applying for certification

Where can more information be found on the LSBE / Micro-LSBE Programs?

bit.ly/LSBEprograms

What is the certification link to register for these programs?

jtafla.dbesystem.com

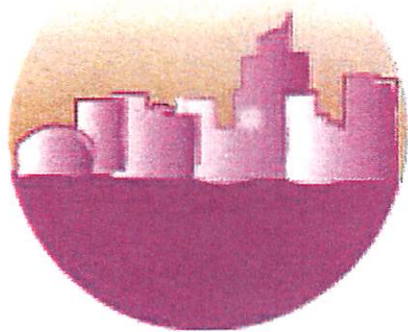


jtafla.com

Jacksonville Transportation Authority

Jacksonville Regional Transportation Center at LaVilla
100 LaVilla Center Drive • Jacksonville, FL 32204 • (904) 630-3100





SMALL BUSINESS

ENTERPRISE

P R O G R A M

SBE Certification Eligibility

- Business is principally located in Maricopa County & City of Phoenix
- Firm has been operational for at least six months or has completed four business contracts
- Owner(s) has a personal net worth less than \$1.32 million (not including owner's primary residence and business equity)
- Owner(s) controls the day-to-day critical operations of the firm
- Owner(s) is a citizen or permanent legal resident of the United States.

Emerging Business Enterprise (EBE)

(hide below)

The Emerging Business Enterprise (EBE) certification allows Denver area emerging businesses to compete with other emerging businesses on specific construction and professional services projects. It is available to firms already certified as MBE/SBE/SBEC/WBE.

It is race- and gender-neutral.

BUSINESS SIZE: For Construction firms, your annual revenues must not exceed \$3 million averaged over three years (for Professional Services, must not exceed \$1 million).

TIME IN BUSINESS: You must actively be in business for at least six months.

PERSONAL NET WORTH: All owners must be under the Personal Net Worth standard of less than \$1.32 million (this amount excludes a primary residence and ownership interest in the company applying for certification).

WORK TYPE: Construction or Professional-Services related.

FEE: \$200 non-refundable application fee, or a \$50 non-refundable renewal application fee.

City of Denver, Colorado

Emerging Business Enterprise

(1)

SEBD PROGRAM

Small and Emerging Business Development Program

LED's Small and Emerging Business Development (SEBD) Program provides the managerial and technical assistance training needed to grow and sustain a small business.

Provides for developmental assistance, including entrepreneurial training, marketing, computer skills, accounting, business planning, and legal and industry-specific assistance.

Consideration for bidding on select products or services purchased by state agencies.

SEBD Intermediaries provide a free needs assessment and assistance with accessing other program benefits.

○ ELIGIBILITY

The program is open to all Louisiana small businesses that meet the following eligibility requirements for both the business and the owner. Certification is effective for up to 10 years or until the firm no longer meets the eligibility requirements for the program.

Small and Emerging Business Person

For the purposes of the program, a person who meets all criteria in this section is defined as a Small and Emerging Business Person.

Citizenship – The person is a U.S. citizen or legal resident.

Louisiana Residency – The person has been a Louisiana resident for at least one year.

Net Worth – At least 51 percent of the business is owned and controlled by persons who individually have a net worth of less than \$400,000, excluding personal residence, business assets and retirement accounts.

Full-Time Employment – Managing owners who claim Small and Emerging Business Person status must be full-time employees of the applicant firm (20 or more hours per week).

Small and Emerging Business

For the purposes of the program, a business that meets all criteria in this section is defined as a Small and Emerging Business.

Ownership and Control – At least 51 percent of the company is owned and controlled by one or more Small and Emerging Business Persons.

Principal Place of Business – The firm's principal place of business is Louisiana.

Lawful Function – The company has been organized for profit to perform a lawful, commercially useful function.

Business Net Worth – The business' net worth does not exceed \$1.5 million.

Job Creation – An applicant firm anticipates creating new full-time jobs.

Program Statutes & Rules:

All incentive program rules are in the Louisiana Administrative Code maintained by the Office of the State Register.

View the Small and Emerging Business Development Program Statutes (<http://www.legis.la.gov/Legis/Law.aspx?p=y&d=104764>)

View the Titles of the Louisiana Administrative Code (<http://www.doa.la.gov/Pages/osr/lac/books.aspx>)

Choose Title 19, Corporations and Business

Rules for Small and Emerging Business Development Program can be found in Part II

GETTING STARTED

NEXT STEPS

ELIGIBILITY SCENARIOS

FAQs

PROGRAM CONTACT:

Stephanie Hartman

Director, Small Business Services

(mailto:pmann@la.gov) (mailto:lacey.mccright@la.gov)stephanie.hartman@la.gov (mailto:stephanie.hartman@la.gov)
225.342.5677

LOUISIANA ECONOMIC DEVELOPMENT 617 North Third Street, Baton Rouge, LA 70802-5239 800.450.8115 | 225.342.3000 (HTTP://WWW.GOV.STATE.LA.US)
opportunitylouisiana.com

Log in (/login/) | Registration (/register/)

Search...

Search for

CITY OF CHARLOTTE SMALL BUSINESS ENTERPRISE CERTIFICATION APPLICATION

Charlotte, N.C.

SEE PAGE 2

Start Download - PDF Now

Convert over 30 File Formats & Share Across Platforms With FromDocToPDF Extension

FromDocToPDF

DOWNLOAD

Close

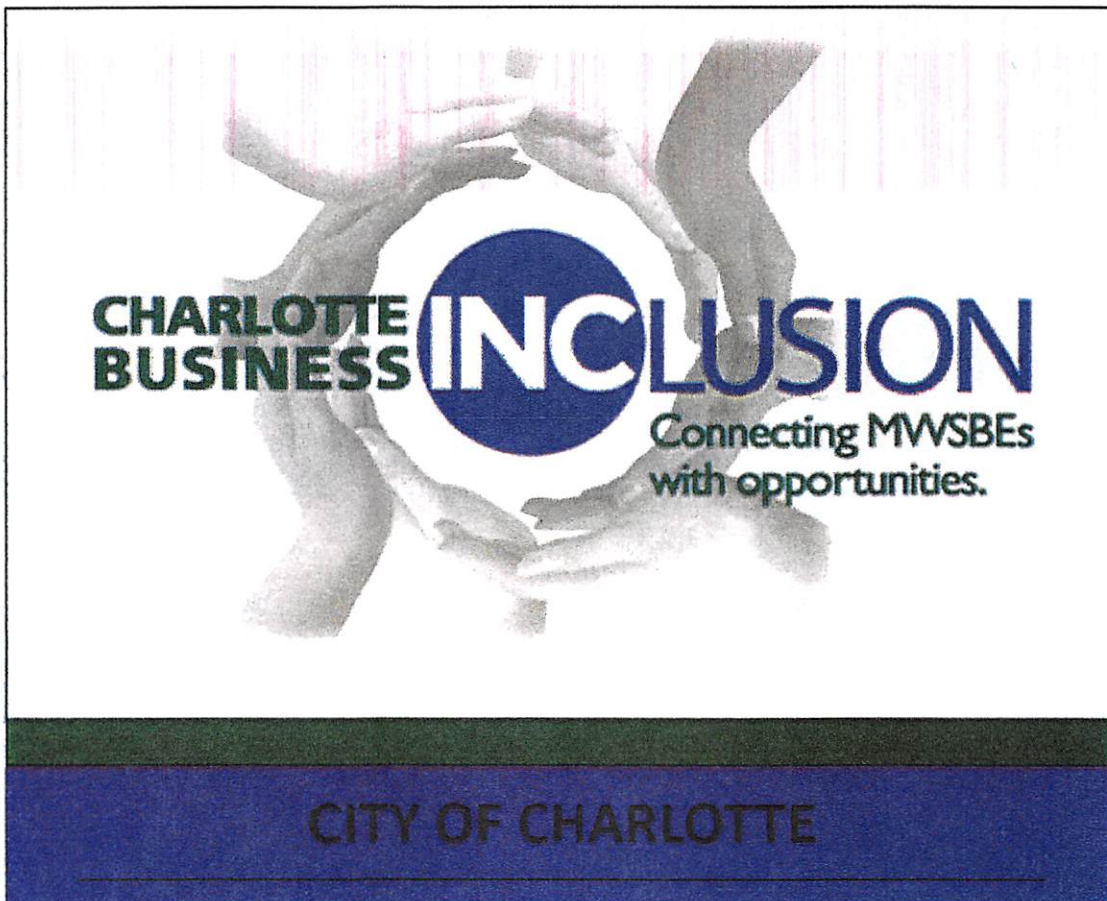
Download PDF

manualsdirectory.org

Printable PDF (Free)

Download Here

01



SHARE

HTML

DOWNLOAD

Save this PDF as:



0

Corey Stafford (/user/14591073/) 5 years ago Views: 38

Transcription

SPONSORED SEARCHES

Online Training Classes

Medical Insurance Plans

1 CITY OF CHARLOTTE SMALL BUSINESS ENTERPRISE CERTIFICATION APPLICATION City of Charlotte Neighborhood & Business Services Charlotte Business INclusion c/o Certification Services 600 East Trade Street, Suite 300 Charlotte, NC Phone: Fax:

2 Dear Applicant: Thank you for your interest in the Charlotte Business INclusion program, which seeks to enhance competition in City contracting and procurement opportunities for Minority, Women, and Small Business Enterprises (MWSBEs) headquartered in the Charlotte Combined Statistical Area. This application provides detailed information about becoming a City of Charlotte certified Small Business Enterprise (SBE). Completing this application is the first step to getting your business greater exposure to business opportunities in City procurement and contracting. As a City certified SBE your firm will be listed in the City s vendor database, which is widely used by City buyers throughout all City Departments. Prime contractors and consultants will also use the City s vendor database to identify SBE certified subcontractors for City projects. Only those businesses that are certified by the City as SBEs will be counted towards fulfilling the City s SBE goals. Please note that this application is for City of Charlotte SBE certification only. If you are interested in learning more about the Charlotte Business INclusion program or becoming a City of Charlotte MWBE, please visit You may also contact a City of Charlotte Certification Specialist at (704) The City of Charlotte looks forward to working with you! Sincerely, Nancy Rosado Charlotte Business Inclusion Manager

3 Benefits of becoming SBE certified include: - Greater exposure to City of Charlotte business opportunities - SBE orientation session on How to do Business with the City - Advance Your Business Development series to grow and develop your business - Company Information added to Citywide vendor database - Discounted courses at the Small Business Center of the Central Piedmont Community College - Networking opportunities PLEASE READ THIS APPLICATION AND CERTIFICATION CRITERIA COMPLETELY BEFORE SUBMITTING - You must submit all applicable required documents as identified on the certification checklist - No faxed applications will be accepted - Please allow 45 business days for processing The City and County are required by law to obtain the following from all individuals and businesses that receive payment from the City or County: (a) a federal employer identification number for all corporations; (b) a partnership identification number for all partnerships. Failure to provide this information may result in federal tax backup withholding or withholding of payment by the City or County. If you are a subcontractor on a City/County contract and will not receive any payment directly from the City or County, then you must still provide the information above where applicable. Failure to provide this information may disqualify you from participating in City or County contracts. For individuals and businesses that receive payment from the City or County, the information requested above will be reported to the Internal Revenue Service for federal tax withholding purposes. For all individuals and businesses completing this form, the information requested herein will be used for internal data tracking purposes, such as accounts payable and procurement analyses and determining whether there is disparity in City/County contracting based on race/ethnicity or gender. Page 1 of 12

4 SBE CERTIFICATION ELIGIBILITY CRITERIA The applicant business shall be eligible for certification as a City of Charlotte SBE only if it meets EACH of the following requirements: 1. Geographic Restriction: The applicant business must be headquartered in the Charlotte Combined Statistical Area (CSA), which includes the following counties: NC: Anson, Cabarrus, Cleveland, Gaston, Iredell, Lincoln, Mecklenburg, Rowan, Stanley, and Union SC: Chester, Lancaster, and York 2. Ownership: At least 51% of the applicant business must be owned by one or more Eligible Owners, each of whom must meet the following requirements: a) Owns a legal and equitable interest in the applicant business in his or her own name (with the ownership of all Eligible Owners being 51% or more); b) Acquired the interest in a real and substantial arms-length transaction utilizing real and substantial consideration; c) Acquired the interest with his or her own financial or equivalent resources or has put his or her own financial resources at risk in the operation of the applicant business; d) Has a personal net worth under \$750,000, excluding: (i) \$500,000 of the equity in his or her primary residence*; (ii) his or her ownership interest in the applicant business; and (iii) the value of his or her retirement savings account as defined by the United States Tax Code and the Internal Revenue Service, AND e) Is not currently an official, officer or employee of the City f) Is either a U.S. citizen or permanent resident *For a married couple, \$500,000 limit applies to the total equity in the residence. In the case of a transfer in ownership, the owner to which the business has been transferred must be the Eligible Owner for a minimum of one year subsequent to the date of transfer, and must meet requirements described herein. 3. Licensed and For Profit: Non-profit organizations cannot become certified as SBEs. To obtain SBE certification, the applicant business must: a) Be authorized to do business in the State of North Carolina; b) Have a valid Mecklenburg County privilege license (unless exempt due to having a state issued professional or industry license); AND c) Demonstrate that the applicant business, its employees or Eligible Owners holds each business or professional license required for the operation of each scope of business for which the Applicant Business seeks SBE certification. 4. Management and Control: The daily business operations of the applicant business shall be managed and controlled by one or more Eligible Owners. The Eligible Owner(s) shall be deemed to manage and control the daily business operations only if: a) Their management and control is specifically demonstrated to be real, substantial and continuing and goes beyond the pro-forma ownership of the applicant business as reflected in its ownership documents; b) They possess the power to and actually direct the management and policies of the applicant business; c) They make both routine and major decisions on matters of management, policy and operations; AND d) They are not subject to formal or informal restrictions that are inconsistent with the customary discretion of majority owners. 5. Experience and Involvement of Eligible Owners. One or more Eligible Owners must: a) Have substantial experience in the trade or industry or other experience, which would be necessary to make routine and major decisions for the applicant business; AND b) Regularly hold themselves out to the public and sign important documents and financial instruments in a manner that is indicative of primary management and control of daily business operations and responsibility for routine and major decisions. 6. Actively in business for ONE YEAR. The applicant business may not be certified until 1 (One) year after all of the following: a) Formation of the applicant business; b) Commencement of sustained business activity in each trade or profession described on the Certification application; AND c) Commencement of ownership, management and control of daily business operations by the identified

Eligible Owner(s). 7. Perform a commercially useful function: The applicant business must perform a Commercially Useful Function. A Business Enterprise does not perform a Commercially Useful Function if it merely acts as a Conduit by passing the scope of work for which it is scheduled to perform or supply on a contract to an SBE or non-sbe firm. Page 2 of 12

8. Threshold size: The annual sales receipts and the number of employees of the applicant business, combined with all affiliates (as defined by the City), cannot exceed one fourth the applicable size standards established by the Small Business Administration for the SBEs primary business. You can access the SBA s Table of Small Business Size Standards at 9. Affiliates: In determining whether the applicant business is within the size thresholds, you must include the combined sales volume and employees of all Affiliates of the Applicant. Two entities are Affiliates of one another when one controls or has the power to control the other, a third party or parties controls or has the power to control both; or other significant relationships exist between the two entities. Examples of the power to control include: Ownership of majority equity interest, Voting control of the board of directors Officer with decision making authority Approval rights over key decisions (through charter, by-laws, shareholder s agreement or otherwise) Power to prevent a quorum, or to otherwise block action by the board of directors or shareholders. Significant relationships exist between two entities when one is significantly dependent on the other, when one (through shared officers, employees, etc.) has the ability to play a key role in the management or direction of the other, or when the two entities have shared facilities, assets or employees or an identity of interest (through family relationships or otherwise). A significant relationship can take many forms, but the factors the City will consider, as a totality of circumstance, include: Common ownership, common management or common employees, Shared equipment, assets or facilities or close physical proximity Family relationships, Loans, leases and contributions, or Percentage of revenue derived from the other entity Contractual or other significant relationships For instance, if two businesses operate from the same property, are in the same general industry, share employees and equipment and have key management officials in common, the City will find an Affiliate relationship even if one Business Enterprise derives only a small percentage of its income from another. Without limiting the City s ability to find an Affiliate relationship under the totality of circumstances test (per Part E: Section 2.11 of the CBI Policy), the City will presume that two or more entities are Affiliates when both of the following conditions are met: 50% or more of annual gross revenue over prior 3 years derived from contracts with the other entity, and The entities have common ownership, common management, shared facilities, shared assets, family relationships or other significant connection. This presumption is rebuttable at the City s discretion if the applicant business shows that the connection between the two businesses is minimal, and that applicant business is no longer at any risk of being financially dependent on the other entity. Page 3 of 12

6 Small Business Enterprise (SBE) Certification Application Please complete this application in its entirety. Do not leave any items blank. Write None or Not Applicable as necessary. Please note that all supporting documentation identified on the checklist MUST be provided to process your application. The City of Charlotte reserves the right to request additional information, if warranted, to verify eligibility. Make a copy of this signed application and keep for your records. Application Date: SECTION I: GENERAL INFORMATION Vendor #: (If known) Federal Employer ID # OR TIN (Tax ID#): Legal Name of applicant business: Doing Business As name (if any): Street Address (No P.O. Box): City, State, Zip + 4: County: Mailing Address, if different: (P.O. Box allowed) City, State, Zip + 4: County: Business Telephone: Business Fax: Website: Name of Owner/President/CEO: Name of Primary Contact, if different: *Primary contact is the person best identified to received solicitations SECTION II: BUSINESS PROFILE Legal form of the business: Sole Proprietorship Partnership Corporation Limited Liability Company Limited Liability Partnership Limited Partnership Partnership Corporation Date Established: Date Incorporated: N.C. Business License # OR Trade / Professional License(s) #: List any business or trade name(s) previously used by this applicant business: Page 4 of 12

7 Check appropriate Race/Ethnicity (Use these codes throughout application) A Asian American H Hispanic American B African American N Native American C Caucasian American Check appropriate gender M Male F Female SECTION III: BUSINESS OWNERSHIP List all individuals and entities with any ownership interest and provide the following information for each: Name & Address % Of Ownership *Ethnicity Codes (A, B, C, H, N) Gender Stock Information (Corp. & LLC only Current Employer Name (& Address, if different from applicant) # of Shares Class *(Use Race/Ethnicity Codes: A- Asian American B- African American, C- Caucasian American, H- Hispanic American, N- Native American) Have the ownership interests changed in the last year? If YES, please explain. Yes No Initial investment of acquired ownership List all contributions/investments of cash, equipment, real estate, expertise, or other consideration provided by each owner to acquire ownership. Owner Name Owner Name Owner Name Cash \$ Cash \$ Cash \$ Real Estate \$ Real Estate \$ Real Estate \$ Equipment \$ Equipment \$ Equipment \$ Other \$ Other \$ Other \$ TOTAL \$ TOTAL \$ TOTAL \$ Owner Name Owner Name Owner Name Cash \$ Cash \$ Cash \$ Real Estate \$ Real Estate \$ Real Estate \$ Equipment \$ Equipment \$ Equipment \$ Other \$ Other \$ Other \$ TOTAL \$ TOTAL \$ TOTAL \$ Page 5 of 12

8 Identify all Company Officers and Board of Directors Company Officers Name Title Race/Ethnicity Gender Board of Directors SECTION IV: WORK SPECIALTY Check the main area in which the applicant business provides materials or service(s): Construction AES (Architecture, Engineering, Surveying) Commodities (Goods and Supplies) Professional Services (Legal, Acct, etc.) Other Services (Marketing, Staffing, Catering, etc.) List Goods and/or Services the Applicant Business Can Provide Indicate Primary Code in the Checkbox NIGP Code* *The City s list of NIGP Codes is available at Page 6 of 12

9 SECTION V: PERSONNEL AND MANAGEMENT Combined number of employees of the applicant business and all Affiliates: Full-time Part-time List management personnel who are primarily responsible for the following activities Financial Decisions Name Title Address (if not already listed in application) Estimating and bidding Hiring and firing of management personnel Hiring and firing of personnel Marketing and Sales Supervision of Operations Signing of Payroll Negotiating Bonds/Loans Office Management Negotiating Contracts Signing Contracts Page 7 of 12

10 SECTION VI: BUSINESS FINANCIAL INFORMATION Please list the combined gross receipts of the applicant business and all Affiliates for each of the last three (3) years. If the firm has not been in business for three years, provide gross receipts for each year in business: \$ \$ Year Receipts Year Receipts Year Receipts Does the applicant normally provide a payment or performance bond for its contracts? Yes No SECTION VII: REFERENCES Please provide the following information for three professional references: A. Firm/Agency Name Telephone Number Address Date of Contract B. Firm/Agency Name Telephone Number Address Date of Contract C. Firm/Agency Name Telephone Number Address Date of Contract How did your business learn about the City of Charlotte s SBE Certification? City of Charlotte Website From another business entity Advertising, Marketing or Publication City of Charlotte Staff State of NC HUB Website From a prime contractor From an M/W/SBE Trade/Professional Organization Word of Mouth SECTION VII: AFFILIATE INFORMATION DEFINITIONS Significant Connection means any of the following: a) 5% or greater ownership interest (as shareholder, partner, etc); b) membership on the board of directors; c) employment relationship; or d) ability to control decisions. Key Personnel means any owner, shareholder, partner, director, officer, or person in a management role of the applicant business. Key Personnel includes but is not limited to all persons who are counted as Eligible Owners for purposes of applying for SBE certification. Owner means any person or entity having a greater than five percent (5%) ownership interest, whether as a shareholder, partner, limited partner, sole proprietor, etc. Related Industry means the same general industry or field as the applicant business, or a business that contracts with other businesses in the applicant business industry or field. For instance, plumbing would be a Related Industry to general construction. Page 8 of 12

1. QUESTIONS 1. Do any of the Key Personnel of the applicant have a Significant Connection with another business? Yes No If yes, please describe: 2. Do any family members of the Key Personnel have a Significant Connection with another business in a Related Industry? Yes No If so, please identify the Key Personnel and describe the Significant Connection: 3. Has more than twenty-five percent (25%) of the applicant business annual revenue in any of the past three (3) years derived from either: (a) a single business entity, or (b) a group of business entities which share the same parent company? Yes No If so, please identify each such business, and the amount of revenue it has provided per year: 4. Does the applicant business share any of the following with another person or business entity: a) office space, warehouse space, or other facilities, b) assets or equipment; or c) employees? Yes No If yes, please identify what is shared and the person or entity it is shared with: 5. Has the applicant business leased or borrowed any of the following from a person or another business entity in a Related Industry within the past 3 years: a) office space, warehouse space, or other facilities; or b) assets or equipment? Yes No If yes, please identify what was leased or borrowed and the person or entity it was leased or borrowed from: 6. Has the applicant business within the past 5 years received any loans or other financing from any individual or other business that is not a bank or lending institution? Yes No If so, please identify the individual or business, the year and amount of each loan and the current balance: Page 9 of 12

2. AFFIDAVIT OF CERTIFICATION A material or false statement or omission made in connection with this application is sufficient cause for denial of certification, revocation of a prior approval, initiation of suspension or debarment proceedings, and may subject the person and/or entity making the false statement to any and all civil and criminal penalties available pursuant to applicable federal and state law. I (full name), swear or affirm under penalty of law that I am (title) of applicant firm (firm name) and that I have read and understood all of the questions in this application and that all of the foregoing information and statements submitted in this application and its attachments and supporting documents are true and correct to the best of my knowledge, and that all responses to the questions are full and complete, omitting no material information. The responses include all material information necessary to fully and accurately identify and explain the operations, capabilities, and pertinent history of the named firm as well as the ownership, control, and affiliations thereof. I recognize that the information submitted in the application is for the purpose of inducing certification approval by a government agency. I understand that a government agency may, by means it deems appropriate, determine the accuracy and truth of the statements in the application, and I authorize such agency to contact any entity named in the application, and the named firm's bonding companies, banking institutions, credit agencies, contractors, clients, and other certifying agencies for the purpose of verifying the information supplied and determining the named firm's eligibility. I agree to submit to government audit, examination and review of books records, documents and files, in whatever form they exist, of the names firm and its affiliates, inspection of its place(s) of business and equipment, and to permit interviews of principals, agents, and employees. I understand that refusal to permit such inquiries shall be grounds for denial of certification. If awarded a contract or subcontract, I agree to promptly and directly provide the prime contractor, if any, and the City of Charlotte on an ongoing basis, current, complete, and accurate information regarding (1) work performed on the project; (2) proposed changes, if any, to the foregoing arrangements. I agree to provide written notice to the City of Charlotte of any material change in the information contained in the original application within 30 days of such change (e.g., ownership, address, telephone number, etc.). I acknowledge and agree that any misrepresentations in this application or in records pertaining to a contract or subcontract will be grounds for terminating any contract or subcontract which may be awarded; denial or revocation of certification; suspension and debarment; and for initiating action under federal and/or state law concerning false statement, fraud or other applicable offenses. I declare under penalty of perjury that the foregoing is true and correct. I declare under penalty of perjury that the information provided in this application and supporting documents relating to my certification status and me is true and correct. Print Name Signature Date Page 10 of 12

3. CHECKLIST Complete This Checklist to Ensure All Required Documents Are Included Thank you for your interest in becoming a certified SBE with the City of Charlotte. Please review the checklist below and use it as a guide to complete your application and organize the appropriate submission documents. Please make sure to include all supplemental documentation (as applicable) with your application. Failure to submit a complete and accurate application could result in your application being returned to you with no action taken. Please mail or deliver a complete application with required documents to the address on the front of this packet. Faxed applications will not be accepted. If you need assistance with this list please give us a call at SBE APPLICANTS MUST SUBMIT: Copies of Professional or Trade License Work experience resume(s) that include places of ownership/employment and corresponding dates. Personal Net Worth (PNW) Statement: the eligible owner(s) must provide a personal net worth statement (see PNW template attached) to verify that the owner does not exceed the \$750,000 personal net worth limitation. Proof of citizenship or permanent residence, (Birth Certificate, passport, voter registration card, green-card or Military ID) Signed lease for office/storage space. If you operate from home please submit a statement indicating that you operate your business from your home residence. Example; Name of business operates from home address, sign and date. List of Equipment (lease or owned) or titles/proof of ownership of equipment needed to operate your business. In a separate sheet of paper please indicate all equipment you use to operate your business. Example; Phones, fax machine, computers, etc. Tax returns for the past 3 years (or life of firm if less than 3 years old). If no tax returns have been filed, a current Balance Sheet is acceptable List of all projects, currently in process or performed in the past three (3) years, including any contracts with the City of Charlotte denoting participation by key staff members in each project. Submit copies of all licenses and/or professional designations/certifications where applicable. (For a full list of professions, visit SUBMIT ADDITIONAL INFORMATION ACCORDING TO YOUR BUSINESS STRUCTURE SOLE PROPRIETORSHIP: Professional or Trade License PARTNERSHIP OR JOINT VENTURE (INCLUDING LP AND LLP); Copy of Partnership or Joint Venture Agreement Professional or Trade License CORPORATION OR LLC (INCLUDING PC AND PLLC); Official Articles of Incorporation (signed by state official) Both sides of all Corporate Stock Certificates and Stock Transfer Ledger Shareholders Agreement Minutes of all stockholder and Board of Directors meetings Corporate by-laws and any amendments Page 11 of 12

[SMALL BUSINESS ENTERPRISE NEW PROGRAM APPLICATION CUYAHOGA COUNTY OF OHIO \(/14211744-Small-business-enterprise-new-program-application-cuyahoga-county-of-ohio.html\)](#)

SMALL BUSINESS ENTERPRISE NEW PROGRAM APPLICATION CUYAHOGA COUNTY OF OHIO Office of Procurement and Diversity Rev. 09/14

1 IMPORTANT INFORMATION FOR APPLICANT Cuyahoga County certifies Small Business Enterprises



More Information (/14211744-Small-business-enterprise-new-program-application-cuyahoga-county-of-ohio.html)

[MWSBE/PDBE Certification Program Information and Application \(/1676675-Mwsbe-pdbe-certification-program-information-and-application.html\)](#)

Minority/Women/Small/Persons with Disabilities Business Enterprises (MWSBE and PDBE) Certification Application MWSBE/PDBE Certification Program Information and Application Mission Statement: The Office

Welcome! You are about to complete the on-line application for certification for the City of Houston. Firms applying for certification must meet the following basic requirements:

- The minority or female business owner must possess at least 51% ownership, management, and control of the business enterprise.
- The minority, female, or small business owner must have the training and expertise to perform the work, and where required, have a license or certificate issued in his or her name.
- The business must be for profit, independent, and currently functioning.
- The business must maintain a significant and local presence in Harris, Brazoria, Chambers, Fort Bend, Galveston, Liberty, Montgomery, Waller, Austin, or San Jacinto County.
- The business must meet the Small Business Administration Size Standard(s) for its industry classification(s).
- For Disadvantaged Business Enterprise (DBE) certification, applicant must have a personal net worth of less than \$1,320,000 - excluding value of home and ownership interest in the business. There is no local presence requirement.
- Persons with Disabilities Business Enterprise (PDBE) certification require applicants to submit a Disability Affidavit and an accompanying letter from a State of Texas certified medical doctor. Disabled veterans must provide a disability rating letter from the Department of Veterans Affairs or a disability determination from the Department of Defense demonstrating a service-connected disability. The person with a disability will be required to meet the same criteria for certification as MWSBE applicants.

For further assistance with completing the application please attend one of the weekly Pre-Certification Workshops offered each Thursday at 2:00 p.m. in the Office of Business Opportunity Office 611 Walker St. 7th Floor Houston, TX 77002. For further questions, please call (832) 393-0600.

MWSBE, PDBE, AC DBE. And DBE



Minority Business Certification Programs

Small Disadvantaged Business (“SDB”) Certification Program

Small Disadvantaged Business (“SDB”) Certification Program This program pertains to benefits in Federal procurement. SDBs are eligible for price evaluation adjustments of up to 10 percent when bidding on federal contracts. SDBs must be at least 51 percent owned by a socially and economically disadvantaged person(s). An individual’s net worth cannot exceed \$750,000, excluding ownership interest in the applicant firm and equity interest in a personal residence.



CITY OF
TUCSON

Office of Equal Opportunity Programs
and Independent Police Review

**City of Tucson / Pima County
Explanation of Certification Programs
Construction / Architecture & Engineering / Good & Services**

SBE Program – A local City of Tucson / Pima County program for small businesses located in Pima County whose owner(s) individually have a personal net worth of less than \$1.3 million, excluding the equity interest in their primary residence and ownership interest in the applicant firm.

DBE Program – A federal program for small businesses (regardless of location) that are at least 51 percent owned and managed by qualifying minorities or women who actively participate in their businesses by controlling the day-to-day operations of the firm. The owner(s) must have a personal net worth of less than \$1.3 million, excluding the equity interest in their primary residence and their ownership interest in the applicant firm. **This program is applicable to all USDOT funded business opportunities with the City of Tucson, Arizona Department of Transportation and the City of Phoenix.**

Please place an “X” next to the certification program(s) for which you are qualified.

- DBE:** Disadvantaged Business Enterprise Certification. This includes ethnic minorities and women and is specific to federally funded opportunities through the City.
- SBE:** Small Business Enterprise Certification. This certification is a race and gender neutral program. All small business owners may apply for this program who meet the net worth criteria.

Additional copies of this application can be obtained at:
<http://www.tucsonaz.gov/eo>

Firm must have **Shelby County** and State of Tennessee business licenses

City of Memphis

Firm must have **Shelby County** and State of Tennessee business licenses

Taxes

Proof of Shelby County Personal Property Taxes and all other necessary local business operational taxes inherit to business in Shelby County are appropriately paid

Proof of Shelby County Personal Property Taxes and all other necessary local business operational taxes inherit to business in Shelby County are appropriately paid

Size Threshold

(SBA standards)

Sales that exceed the average sales for the industry for three (3) consecutive years using SBA standards

Principle owners net worth cannot exceed \$1.32 million, excluding primary residence and the business for which he/she is seeking SBE certification from the city

MBE/WBE/SBE

Personal Net Worth Fact Sheet

The Office of Minority and Women's Business Enterprises (OMWBE) certifies small businesses owned by socially and economically disadvantaged persons. An applicant's economic disadvantaged status is verified by his or her personal net worth.

Personal net worth requirements

- The primary owner(s)' personal net worth may not exceed \$1.32 million.
- A person's primary residence and the assets of the certified business do not count toward the personal net worth calculation.
- There are circumstances where an applicant's personal net worth does not exceed \$1.32 million, but the OMWBE determines the person is not economically disadvantaged. The agency would make this determination if the statement of personal net worth and supporting documents demonstrate the individual is able to accumulate substantial wealth. Factors include:
 - Adjusted gross income over the last three years is over \$350,000. The agency takes into consideration if this income was usual and likely to occur in the future, if the earnings were offset by losses, and if the income was reinvested in the firm or used to pay business taxes.
 - The total fair market value of the owner's assets exceed \$6 million.



STATE OF CONNECTICUT

SBE/MBE Program Certification Application (Small or Minority Business Enterprise)

Eligibility

Small Business Enterprise (SBE):

- Principal place of business must be in Connecticut.
- Gross revenues cannot exceed \$20,000,000 during its most recently completed fiscal year prior to applying for certification.
- Independent: The viability of the company must not depend upon another person, as determined by an analysis of the small contractor's relationship with any other person in regards to the provision of personnel, facilities, equipment, other resources and financial support, including bonding.

Minority Business Enterprise (MBE):

- Must meet the SBE criteria stated above.
- 51% of the company capital stock (if any) or assets must be owned by a person who meets all of this criteria:
 - Exercises operational authority over daily affairs of the business.
 - Has the power to direct the management and policies and receive the beneficial interests of the business.
 - Possesses managerial and technical competence and experience directly related to the principal business activities of the company
 - The eligible principle is a member of a "minority" as defined in [C.G.S. 32-9n](#)Opens in a new window, or who is an individual with a disability.

Dwight D. Eisenhower State Office Building
700 S.W. Harrison Street
Topeka, KS 66603-3745



Phone: 785-296-7940
Fax: 785-296-0723
Hearing Impaired - 711
kdot#publicinfo@ks.gov
http://www.ksdot.org

Richard Carlson, Secretary
Doria Watson, Chief

Governor Jeff Colyer, M.D.

KANSAS STATEWIDE CERTIFICATION PROGRAM

Thank you for your interest in being certified as a disadvantaged business with the State of Kansas. The Kansas Statewide Certification Program (KSCP) is a joint effort between the Department of Transportation, Office of Civil Rights Compliance, and the Department of Commerce, Office of Minority and Women Business Development.

To be eligible as a Disadvantaged Business Enterprise (DBE) an applicant must meet the following criteria:

1. The disadvantaged owner must be a citizen of the United States or have been lawfully admitted as a permanent U.S. Resident.
2. The firm must meet USDOT size standards, be independent, be viable and be for profit.
3. The business must be at least 51% owned and controlled by a socially and economically disadvantaged person. Economic disadvantage is a personal net worth under \$1.32 million, excluding equity in the applicant business and the disadvantaged owner's primary residence.

For the KSCP to properly evaluate the above factors, the firm must provide a financial statement for the six most recent months of business activity and a federal tax return for the company reflecting the current ownership.

The completed application must be signed, notarized, and returned with the required supporting documentation. It is important that the applicant answer each question fully or designate "N/A" for questions that are not applicable. If required information is not provided, a written explanation must be included.

Once required documentation has been submitted and reviewed, the applicant will be contacted concerning an on-site interview meeting.

If the applicant business is located out of state, a copy of the home state certification is also required with the application. We will secure a copy of the home state certification on-site report from the appropriate home state certifying agency. An application and supporting documents are required for all out-of-state applicants' initial certification; however, we will accept a copy of the application package submitted to the home state in lieu of completing a new application, as long as all information is current and correct. A telephone interview may be completed if deemed necessary upon receipt of the home-state on-site report.

The applicant will be notified via letter of the certification acceptance or denial. If accepted, the certification is valid until a firm graduates the program or is removed for non-compliance. Annual updates are required and every three years, new on-site interviews will be performed. Businesses that are certified will be listed in a directory of DBEs. Please be advised that certification under this program does not guarantee that you will receive additional business or contracts.

MAIL COMPLETED APPLICATION AND REQUIRED DOCUMENTS TO:

Kansas Department of Transportation
Office of Civil Rights Compliance
700 SW Harrison, 3rd Floor
Topeka, KS 66603-3754
(785)296-7940
***Construction-related firms*

Kansas Department of Commerce
Office of Minority & Women Development
1000 SW Jackson, Ste. 100
Topeka, KS 66612-1354
(785)296-5298
***Non-construction-related firms*

STATE OF MASSACHUSETTS

Overview

Certification is the process by which SDO reviews and investigates applicants who seek to participate in affirmative business opportunities to determine that they meet the requirements of state and federal statutes and regulations. SDO certifies companies for both State and Federal Disadvantaged Business Enterprise (DBE) certification programs.

SDO Certification

The Commonwealth's state certification programs are established pursuant to: [MGL c. 7, § 57](#), [MGL c. 7, § 58](#), [MGL c. 7, § 58A](#), [MGL c. 7, § 59](#) and [MGL c. 7, § 61](#) as well as [425 CMR 2.00](#) and [Executive Order 565](#).

DBE Certification

DBE certification is a Federal designation used in conjunction with US Department of Transportation (US DOT) funded projects and contracts. State agencies and organizations using DBE certification include the Executive Office of Transportation, Massachusetts Highway Department (MHD), the Massachusetts Bay Transportation Authority (MBTA), the Massachusetts Turnpike Authority (MTA) Central Artery/Third Harbor Tunnel Project (CA/T), the Massachusetts Port Authority (Massport), the Massachusetts Aeronautics Commission (MAC), Worcester Airport, Barnstable Airport, and many Regional Transit Authorities throughout the Commonwealth.

To qualify as a DBE, the business must be owned and controlled by one or more socially and economically disadvantaged persons as defined by DBE Regulation 49 CFR Parts 23 and 26. The presumption of disadvantage is refutable.

The business' size as measured by average annual gross receipts over the most recent three years must be under the specified dollar amounts. These size standards are set according to the business' North American Industry Classification System (NAICS) code. Depending on the industry, these limits can range from \$2.5 million averaged per year to \$19.5 million averaged per year. Manufacturers, wholesalers and retailers must meet an employee size standard ranging between 500 to 1500 employees, depending on the NAICS classification, and their average three year gross sales must be less than \$19.5 million.

The DBE regulations require all owner applicants to complete a Statement of Disadvantage and a Personal Financial Statement. All eligible owners must affirm that they are members of a disadvantaged group (for example, an eligible ethnic minority or female). In addition, the personal net worth of each eligible owner applicant must be less than \$1.32 million, excluding the values of the applicant's ownership interest in the business seeking certification and the owner's primary residence.

New Year, New Cap for Personal Net Worth in Maryland's Minority Business Enterprise Program

HANOVER, MD – The Maryland Department of Transportation's (MDOT) Office of Minority Business Enterprise (OMBE) today announced the Personal Net Worth cap applied to the state's Minority Business Enterprise (MBE) program will increase from \$1,771,564 to \$1,788,677, effective January 1, 2021.

As required by Maryland law, the state's MBE program adjusts its Personal Net Worth cap annually based on the Consumer Price Index. MDOT, as the official certification agency for the state, is responsible for calculating the annual cap. The Personal Net Worth cap applies to any disadvantaged owner whose ownership interest in a firm is relied upon for certification in the MBE program and all MBE certification decisions rendered between January 1, 2021, and December 31, 2021. In addition to the PNW cap, firms must meet eligibility requirements for minority status, ownership, control and size.

The Personal Net Worth cap in place for the federal Disadvantaged Business Enterprise (DBE) program is not affected. Accordingly, the DBE cap on personal net worth remains \$1,320,000.

MDOT is committed to ensuring that small minority and women-owned businesses have the opportunity to participate fully and fairly in the procurement process. The certification process ensures that bona fide disadvantaged firms receive the MBE designation in support of the State's minority business inclusion efforts.

For information about MBE/DBE certification, contact OMBE at 410-865-1269 or visit the Minority Disadvantaged Business Enterprise webpage under the MBE tab found at www.mdot.maryland.gov.

PERSONAL NET WORTH STATEMENT

Minnesota Rules 1230.1603 subp. 1.B.(1) states that "Each individual owner of a business applying to participate as a socially and economically disadvantaged or economically disadvantaged area small business whose ownership and control are relied upon for certification must certify that the individual has a personal net worth that does not exceed the limit in Code of Federal Regulations, title 49, subtitle A, part 26."

Complete this form for each individual owner whose ownership and control are relied upon for certification.

Name		Business Phone	
Residence Address		Residence Phone	
City, State and Zip Code			
Name of Business			

PERSONAL INCOME

Salary	
Net income investment	
Real estate income	
Other income	
TOTAL INCOME	\$ -

PERSONAL ASSETS * Include:

Cash on hand and in banks	
Savings accounts	
IRA or other retirement accounts – <i>less tax & interest penalties that would accrue if the asset were distributed at the present time</i>	
Accounts and notes receivable	
Life insurance – <i>cash surrender value</i>	
Stocks and bonds	
Real estate – <i>exclude equity in primary residence</i>	
Automobiles – <i>present value, exclude primary vehicle</i>	
Other vehicles – <i>present value</i>	
Other personal property	
Other assets	
TOTAL ASSETS	\$ -

PERSONAL LIABILITIES* Include:

Accounts payable	
Notes payable to banks and others	
Installment accounts (i.e., autos)	
Loan on life insurance	
Mortgages on real estate – <i>exclude mortgages on primary residence</i>	
Unpaid taxes	
Other liabilities	
TOTAL LIABILITIES:	\$ -
TOTAL NET WORTH (ASSETS - LIABILITIES)	\$ -

INSTRUCTIONS - PERSONAL NET WORTH STATEMENT(S)

You must complete a Personal Net Worth Statement for each owner of the firm who constitutes qualification to the program.

If the majority owner(s) Personal Net Worth according to 49 CFR Part 26 and 23 exceeds the \$1,320,000 cap, your firm is not considered to be economically disadvantaged for determination of eligibility for State certification.

If the Personal Net Worth according to 49 CFR Part 26 of the majority owner(s) exceeds the \$1,320,000 cap at any time after your firm is certified, the firm is no longer eligible for certification. Should that occur, it is your responsibility to contact the State in writing to advise that your firm no longer qualifies for certification.

GENERAL INSTRUCTIONS

- You must fill out all line items on the Personal Net Worth Statement to the best of your ability.
- All monetary amounts are entered in whole dollars (no decimal places).
- If you have any questions about completing this form, please contact the certifying entity/agency to which you are applying.

ASSETS

All assets must be reported at their current estimated fair market values as of the date of this statement.

The owner's cost value for real estate, for example, is not acceptable. The applicant is not required to incur a cost to obtain a professional appraisal.

Cash and Cash Equivalents: The total amount of cash on hand or cash equivalents in any bank account for this owner. Include checking, savings, money market, certificates of deposit (domestic or foreign).

Retirement Accounts: The total present value of all IRAs, 401Ks, or other retirement accounts, including any deferred compensation, 403Bs and other pension plans for this owner. The value of the assets in these accounts should be reduced by the estimated amount of any income taxes and penalties that would be paid if the assets were to be withdrawn as of the date of this application.

Brokerage/Investment Accounts (stocks and bonds): The current market value of this owner's stocks, bonds or other securities. Do NOT include the value of stock in the applicant business (if any).

Assets Held in Trust: The total value of assets held in trust for this owner.

Loans to Shareholders and Other Receivables: The total value of all monies owned to this owner personally, if any. This should include shareholder loans to the applicant firm, if any.

Real Estate (excluding primary residence): The current fair market value of all real estate owned by this owner.

Life Insurance: The cash surrender value of any life insurance policies held by this owner. This amount should *not* be the amount a beneficiary would receive upon this owner's death (*known as face value*).

Other Personal Property and Assets: The total current fair market value of all other property or assets owned by this owner not included in the previous entries. Includes motor vehicles, boats, trailers, aircraft, furniture, household goods, jewelry, artwork, collectibles, etc.

Business Interests (other than the firm for this application): Enter the current value of this owner's interest in other businesses.

Total Assets: The sum of all asset entries for this owner.

LIABILITIES

All liabilities must be reported at their current outstanding balances as of the date of this statement. This includes any principal and interest.

Loan on Life Insurance: The total value of all loans taken against life insurance policies held by this owner.

Mortgages on Real Estate (excluding primary residence): The total balance on all mortgages payable on real estate for this owner.

Notes/Obligations on Personal Property: The total value of all unpaid personal accounts payable that are the responsibility of this owner. Includes auto loans and other installment accounts, such as personal credit cards.

Notes/Accounts Payable to Banks and Others: The total amount due on all notes payable to banks and others that are the responsibility of this owner (excluding mortgage balances and notes/obligations on personal property).

Other Liabilities: The total value of all other liabilities for this owner, not classified in the previous entries.

Unpaid Taxes: The total amount of all taxes that are owned by this owner, but unpaid.

Total Liabilities: The sum of all liability entries.

TOTAL

Total Net Worth: Total Assets minus Total Liabilities = Total Net Worth



City of Austin

Founded by Congress, Republic of Texas, 1839

Small & Minority Business Resources Department- Certification Office, 4201 Ed Bluestein Boulevard, Austin, TX 78721

Mailing Address: PO Box 1088, Austin, Texas 78767, Telephone 512) 974-7645 Fax (512) 974-7609

Instructions for Completing the Personal Net Worth Statement for MBE/WBE Program Eligibility

The PNW statement is used to determine whether you meet the economic disadvantage criteria set forth by Austin City Code § 2-9A-4 (21). If there are any discrepancies or questions regarding your form, it may be returned to you to correct and complete again.

An individual's personal net worth includes only his or her share of assets owned separately and/or jointly, and excludes the following:

- Individual's ownership interest in the applicant firm;
- Individual's equity in his or her primary residence.
- Tax and interest penalties that would accrue if retirement savings or investments (e.g., pension plans, Individual Retirement Accounts, 401(k) accounts, etc.) were distributed at the present time.

Indicate on the form, if any items are separately and/or jointly owned by indicating with a checkmark.

Include all foreign and domestic assets and liabilities.

Personal Net Worth for the Austin Metro Area for 2015 may not exceed \$1,454,000.00 to qualify for the City of Austin's Minority-Owned and Women-Owned Business Enterprise (MBE/WBE) Procurement Program. If the personal net worth of the majority owner(s) of the firm exceeds \$1.454 Million cap at any time your firm is certified, the firm is no longer eligible for certification. Should that occur, it is your responsibility to contact the City of Austin's Small and Minority Business Resources Department in writing to advise that your firm no longer qualifies as a MBE or WBE. You must fill out all line items on the PNW Statement.

If necessary, use additional sheets of paper to report all information and details. If you have any questions about completing this form, please contact the Certification Division at (512) 974-7645.

Assets

All assets must be reported at their current fair market values as of the date of your statement. *Assessor's assessed value for real estate, for example, is not acceptable.* Assets held in a trust should be included.

Cash on Hand or in Banks: Enter the current balance of all personally owned and/or co-owned checking accounts and cash on hand.

Savings Accounts: Enter the current balance of all separately owned and/or co-owned savings accounts, CDs, or other liquid account.

Automobiles: On page 3, enter the current market value of all automobiles owned or co-owned. Include personally owned vehicles that are leased or rented to businesses or other individuals. Do not include automobiles that are *titled* to the applicant firm.

Other Personal Property: On page 3, enter the total value of all personal property and assets owned or co-owned. Personal property includes motor vehicles, boats, trailers, planes and the contents of your primary residence such as jewelry, furniture, household goods, collectibles, clothing, etc. Please include the value of other personal property including commercial, personal property leased or rented for business purposes, farm equipment and animals, and any other income producing properties. For example, the building used by the applicant firm, held in the owner's name, is considered personal or investment property. Although typically leased to the applicant firm, you would include the current market value of the building and associated mortgage balance. Attach additional sheets if needed.

Loans, Accounts and Notes Receivable: Enter the total amounts owed to you and/or co-recipient. This is typically documented by a promissory note issued by you to the borrower (person(s) or firm). If this is a loan to a firm, it is sometimes referred to as a "shareholder loan".

Life Insurance-Cash Surrender Value Only: Complete Section 1 and enter the total amount on page 3. Enter the total cash surrender value of all life insurance policies held by you. In Section 1, enter the name of the insurance company, the cash surrender value of policies, and beneficiary names. The cash value is the sum of money an insurance company will pay to a policy holder or annuity holder in the event the policy is voluntarily terminated prior to maturity date

IRA and Other Retirement Accounts: Complete Section 2 and enter the total amount on page 3. Enter the full value minus tax and interest penalties that would apply if assets were distributed as of the date of the form. This amount applies to IRAs, 401Ks, 403Bs, and Pensions.

Stocks and Bonds: Complete Section 3. Report the total value on page 3. In Section 3, enter the number of shares, name of the security, cost, market value quotation or exchange, date of quotation or exchange, and total value. Do not include stocks related to the applicant firm.

Other Business Assets: Complete Section 4. On page 3, enter the total value of your /or your spouse's other business investments (excluding the applicant firm). In Section 4, enter information concerning the businesses you hold and ownership interest in, such as sole proprietorships, partnerships, joint ventures, corporations, or limited liability corporations. Do not reduce the value of these entries by any loans from the outside firm to the MBE/WBE applicant business.



City of Austin

Founded by Congress, Republic of Texas, 1839

Small & Minority Business Resources Department- Certification Office, 4201 Ed Bluestein Boulevard, Austin, TX 78721

Mailing Address: PO Box 1088, Austin, Texas 78767, Telephone 512) 974-7645 Fax (512) 974-7609

Other Real Estate: Complete Section 5. On page 3, enter the total value of real estate excluding the primary residence. In Section 5, beginning with Property A, list the type of property (rental, vacation, etc.), physical address, date purchased or acquired, original cost, present fair market value (provide the source of market valuation. e.g., zillow.com, reallor.com, etc.), name of mortgage holder, mortgage account number and balance, amount of payment per month or year, and status of mortgage. List this information for all real estate held. Please ensure that this section contains all real estate owned or co-owned by you and/or spouse, including commercial, personal property leased or rented for business purposes, farm, and any other income producing properties. Attach additional sheets if needed.

Liabilities

Accounts Payable: Enter all amounts owed to others. This is typically documented by a promissory note, issued by the lender to you, the borrower and/or co-borrower. If it's a loan to a firm, it is sometimes referred to as a shareholder loan.

Installment Accounts (Auto): One page 3, enter the current balance of all personal automobile loans owned by you and/or co-owned. Include personally owned vehicles that are leased or rented to businesses or other individuals.

Loans on Life Insurance: Provide amounts on all loans issued to you by all life insurance companies. Sometimes referred to as "life insurance policy", this is a loan made to you by using the cash value of your life insurance policy as collateral.

Mortgages on Real Estate: From Section 5, Provide the current mortgage balance on any real estate owned solely or co-owned.

Unpaid Personal Taxes and Tax Liens: Complete Section 6. On page 3, provide the total amount on personal taxes that are currently due, but are unpaid by you and/or spouse. Contingent tax liabilities or anticipated taxes for current year should not be included.

Notes Payable to Banks and Other Installment Accounts: Complete Section 7. Enter current balances, payments, etc. of all personal credit cards accounts and other installment accounts owed (both foreign and domestic), owned or co-owned. Provide the name and address of the note holder, original balance, current balance, payment amount and per month or year, and indicate how the note is secured or endorsed, and if the item is held in a foreign or domestic location. Attach additional sheets if needed. On page 3, provide the total amount.

Other Liabilities: On page 3, enter the current balance of any other liabilities not listed on previous entries. Do not include contingent liabilities in this area. Contingent liabilities are liabilities that belong only to you only if an event(s) should occur. For example, if you have co-signed on a relative's loan, but you are not responsible for the debt until your relative defaults, that is a contingent liability. Contingent

liabilities do not count toward your net worth until they become actual liabilities.

Other

Other Sources of Income: Provide a summation of other sources of income (e.g., child support, outside employment).

Salary/Commissions: List current salaries and/or annual withdrawal amounts and commissions.

Net Investment Income: Provide a summation of investment interest earned by securities, investment properties and/or other sources.

Other Contingent Liabilities: On page 6, enter a total balance of all contingent liabilities. Contingent liabilities are liabilities that belong only to you only if an event(s) should occur. For example, if you have co-signed on a relative's loan, but you are not responsible for the debt until your relative defaults, that is a contingent liability.

As Endorser or Co-Endorser: Enter the total amount of potential liabilities due as a result of being a co-signer for a loan or other commitments.

Legal Claims and/or Judgments: Enter the total potential liabilities due as a result of legal claims from judgments, lawsuits, etc.

Transfer of Assets

Transfer of Assets: If you checked the box indicating yes on page 6 in this category, provide details on all asset transfers (within 2 years of the date of this personal net worth statement) to a spouse, domestic partner, relative, or entity in which you have an ownership or beneficial interest including a trust. Include a description of the asset; names of the individuals on the deed, title, note or other instrument indicating ownership rights; the names of the individuals receiving the assets and their relation to the transferor; the date of the transfer; and the value of consideration received. Submit documentation requested on the form related to the transfer.

Affidavit

Be sure to sign and date the statement. The Personal Net Worth (PNW) Statement must be notarized.



City of Austin

Founded by Congress, Republic of Texas, 1839

Small & Minority Business Resources Department-Certification Office, 4201 Ed Bluestein Boulevard, Austin, TX 78721

Mailing Address: PO Box 1088, Austin, Texas 78767, Telephone 512) 974-7645 Fax (512) 974-7609

Complete a PNW form for: (1) Each socially disadvantaged proprietor, or (2) Each socially disadvantaged limited and general partner whose combined interest totals 51% or more, or (3) Each socially disadvantaged stockholder owning 51% or more of voting stock. An individual's personal net worth includes only his or her share of assets and liabilities held separately AND/OR jointly. Personal Net Worth for the Austin Metro Area for 2015 may not exceed \$1,454,000.00 to qualify for the City of Austin's Minority and Women-Owned Business Enterprise (MBE/WBE) Procurement Program.

Applicant Name:	Business Phone:	Residence Phone:
Residence Address: City, State & Zip Code & County		
Business Name:		
Spouse's Full Name:	Marital Status: <input type="checkbox"/> Married <input type="checkbox"/> Single <input type="checkbox"/> Divorced <input type="checkbox"/> Union	

PNW STATEMENT DATE: _____							
If an item does not apply mark it with a "N/A". If it applies but there is no value, mark it with a "\$0.00"							
Domestic & Foreign Assets	Indicate if Owned Separately and/or Jointly		Current Market Value:	Domestic & Foreign Liabilities	Indicate if Owned Separately and/or Jointly		Current Market Value:
	S	J			S	J	
Cash on Hand or in Banks			\$	Accounts Payable (shareholder loan, Promissory note, etc.)			\$
Savings Accounts, C/Ds			\$	Balance of Auto Loans			\$
Automobile(s) – Current Market Value			\$	Balance of Loans from Life Insurance			\$
Other Personal Property (value of furniture, electronics, RVs, boat, artwork, tools, securities, etc.)			\$	Balance of Unpaid Mortgages for Other Real Estate From Section 5			\$
Balance of Loans, Accounts and/or Notes Receivable			\$	Balance of Unpaid Personal Taxes Complete Section 6			\$
Life Insurance <u>Cash Surrender</u> Value - Complete Section 1			\$	Balance of Notes Payable to Banks AND Other Installment Accounts (credit cards, revolving accounts, etc.) Complete Section 7			\$
Retirement Accounts Complete Section 2			\$	Any Other liabilities (payments for other assets)			\$
Stocks and Bonds Complete Section 3			\$				
Other Business Assets Complete Section 4			\$				
Other Real Estate Owned Complete Section 5			\$				
TOTAL FOREIGN & DOMESTIC ASSETS:			\$	TOTAL FOREIGN & DOMESTIC LIABILITIES:			\$
TOTAL NET WORTH:							\$
(assets minus liabilities)							



City of Austin

Founded by Congress, Republic of Texas, 1839

Small & Minority Business Resources Department- Certification Office, 4201 Ed Bluestein Boulevard, Austin, TX 78721

Mailing Address: PO Box 1088, Austin, Texas 78767, Telephone 512) 974-7645 Fax (512) 974-7609

Section 1: Applicant's Cash Surrender Value from Life Insurance Policy(ies)	
Please provide the Insurance Company(ies), Total Payout Value(s) and Beneficiary(ies) for your policy(ies):	
Total Cash Surrender Value (not payout value):	\$

Section 2: Applicant's Retirement Accounts and/or Trust(s) (Provide attachments if needed)	Sep. owned	Jointly owned	Foreign or Domestic	Current Market Value
IRAs, Roths, 401Ks, 403Bs and Pension(s)		N/A	F / D	\$
Other Retirement Account(s)			F / D	\$
Trust(s): Indicate if: Revocable or Irrevocable Please provide a copy of the trust and a copy of its tax return (if a filing entity)			F / D	\$
Total Current Market Value for Retirement Accounts:				\$

Section 3: Stocks and Bonds NOTE: Quote must be within five (5) business days of this statement date. (Use an attachment if necessary. Each attachment must be identified as part of this statement and signed.)					
Number of Shares	Name of Securities	Cost	Market Value Quotation or Exchange	Date of Quotation Or Exchange	Current Market Value
		\$	\$		\$
		\$	\$		\$
Total Current Value for Stocks & Bonds:					\$

Section 4: Other Business Asset(s) Provide the value of assets held in other businesses. Do not include applicant firm assets (Use an attachment if necessary)				
	Title	% Owned	Nature of Business: (What does this company do)	Current Market Value of Assets Invested:
Business Name & Address:				\$
Business Name & Address:				\$
Total Current Market Value of Other Business Assets:				\$



City of Austin

Founded by Congress, Republic of Texas, 1839

Small & Minority Business Resources Department- Certification Office, 4201 Ed Bluestein Boulevard, Austin, TX 78721

Mailing Address: PO Box 1088, Austin, Texas 78767, Telephone 512) 974-7645 Fax (512) 974-7609

Section 5: Other Real Estate Owned. (Do not include the personal residence). List each property parcel separately. Use attachments if necessary. Each attachment must be identified as a part of this statement and signed.)			
	Property A	Property B	Property C
Applicant's Ownership %			
* Current Market Value (Of percentage owned)	\$	\$	\$
Type of Property			
Address: Street, City, State, Zip, County & Country (if foreign)			
Date Purchased			
Original Cost	\$	\$	\$
Name and Address of Mortgage Holder			
Mortgage Account Number			
Amount of Payment per Month/Year	\$	\$	\$
** Mortgage Balance (Of percentage owned)	\$	\$	\$
Status of Mortgage			
*ASSET:	Total Current Value of Other Real Estate Owned:		\$
**LIABILITY:	Total Amount of Remaining Mortgages on Other Real Estate Owned:		\$

Section 6: Applicant's Balance of Unpaid Personal Taxes	Unpaid Personal Tax Amount
Please provide a description and amount of unpaid personal taxes. Provide backup documentation if needed. Do not include applicant firm taxes.	
Balance of Unpaid Personal Taxes	\$
Are these foreign or domestic unpaid taxes: Foreign / Domestic. If foreign, provide country: _____	
Please describe in detail the type, to whom payable, when due, and to what property. If there is a tax lien, please provide a copy.	



City of Austin

Founded by Congress, Republic of Texas, 1839

Small & Minority Business Resources Department- Certification Office, 4201 Ed Bluestein Boulevard, Austin, TX 78721

Mailing Address: PO Box 1088, Austin, Texas 78767, Telephone 512) 974-7645 Fax (512) 974-7609

Section 7: Applicant's Notes Payable & Other Installment Accounts (use attachment if necessary)						
Name of Noteholder(s)	Original Balance	Payment Amount	Frequency (mo./yr., etc.)	How Secured, Endorsed; Type of Collateral	Foreign or Domestic	Current Market Value
	\$	\$			F / D	\$
	\$	\$			F / D	\$
	\$	\$			F / D	\$
Total Current Market Value of Notes Payable & Other Installment Accounts						\$

Section 8: Transfer of Assets

Have you, the individual claiming disadvantaged status, transferred assets within two (2) years, in full or in part, to a spouse or any other person or entity, including a trust? YES NO

If yes, provide the following information as an attachment: the date of the transfer, to whom the assets were transferred, amount paid for the assets and market value of the assets at the time of the transfer

NOTE: Individuals may exclude assets transferred to an immediate family member that are consistent with the customary recognition of special occasions and may also exclude any transfers to an immediate family member for educational, medical or essential support purposes.

Other Sources of Income	\$	Other Contingent Liabilities	\$
Salary/Commissions (include all current salaries/ or annual withdrawals and commissions from all employers and businesses owned)	\$	As Endorser or Co-Endorser/ Co-Signer	\$
Net Investment Income	\$	Legal Claims and/or Judgments	\$

APPLICANT'S PERSONAL NET WORTH CALCULATION:

I certify as evidence of my signature below, I have read and understand all statements contained here within and that all information I have provided is true and correct.

Applicant's Signature

Date

Notary Certificate

State of Texas, County of _____

Sworn to and subscribed before me on the _____ day of _____, year _____.

Notary Public/ Seal



ATTACHMENT A: NYS MWBE CERTIFICATION INDIVIDUAL PERSONAL NET WORTH AFFIDAVIT

Division of Minority and Women Business Development

NEW YORK

LOOK AT PAGE 3

Each individual owner relied upon for certification as a minority or women-owned business enterprise (hereinafter "MWBE") must complete this form and provide the applicable supplemental documentation as referenced below as part of the application for certification or recertification.

The personal net worth of each individual upon which certification is relied upon cannot exceed 15 million dollars. For certification purposes, personal net worth shall mean the aggregate adjusted net value of the assets of an individual remaining after total liabilities are deducted. Personal net worth includes the individual's share of assets held jointly with said individual's spouse but does not include the individual's ownership interest in the certified minority and women-owned business enterprise; the individual's equity in his or her primary residence; ownership interest in a holding company established for the exclusive and sole purpose of leasing machinery, equipment, or vehicles exclusively to the certified minority or women-owned business enterprise, that is majority owned by the minority group member or women relied upon for certification, and the holding company does not own any other assets of any kind; or up to seven hundred and fifty thousand dollars of the present cash value of any qualified retirement savings plan or individual retirement account held by the individual less any penalties for early withdrawal.

I, _____, being duly sworn state that my social security number is: _____ - _____ - _____ and I am a woman or a member of a minority group as defined in Article 15-A of the Executive Law. I own _____ percent of the equity in _____, the business applying for certification or re-certification as an M or WBE with New York State. I have read the definition of net worth set forth in the statement above, and have calculated my net worth to be \$ _____.

Further, I understand that I am required to provide, with this affidavit, a true, executed copy of my submitted federal and state personal tax returns including all statements and schedules as filed for the prior taxable year. I also understand that in the event my personal net worth exceeds 1.3 million dollars at the time of this application, I am also required to submit a complete Attachment B: Personal Financial Statement Worksheet in the form or format supplied by the Division of Minority or Women's Business Development online at www.esd.ny.gov/mwbe.html.

I understand the tax returns I have submitted to the Division of Minority and Women Business Development as part of the certification or re-certification process must be true and correct copies of my personal tax returns and include all schedules, statements and amendments which I have submitted to the IRS and the state or, in the event that I have paid taxes in multiple jurisdictions, states where I have filed my most recent state income taxes. By signing below I am attesting that I am providing this as part of the application for certification or re-certification, and acknowledge any false statement made by the applicant will result in the denial of certification and is punishable as a Class E Felony under Section 175.35 of the Penal Law.

(Signature)

(Print)

State of New York, County of _____. On this _____ day of _____ 20____, before me appeared

(Name) _____ to me personally known, who being duly sworn, properly did execute the foregoing affidavit and did state that s/he was properly authorized by

(Name of Firm) _____ to execute the affidavit and did so as his or her free act and deed.

Notary Public _____

Commission Expires _____

Print Form



INSTRUCTIONS TO ASSIST IN COMPLETING **ATTACHMENT B: PERSONAL FINANCIAL STATEMENT WORKSHEET**

This instruction sheet is intended to provide guidance on how to complete the Division of Minority and Women's Business Development's New York State MWBE Certification Application **Attachment B: Personal Financial Statement Worksheet**. In order to determine the individual net worth of each minority or woman applicant, the **Attachment B: Personal Financial Statement Worksheet** should be completed by all minority or woman business owners upon which Minority and Women Owned Business Enterprise ("MWBE") certification is based.

Each minority or woman upon which MWBE certification is based **will need to complete and include their personal net worth documentation. This is required for all firms seeking New York State MWBE certification.** Once the individual has determined the net worth **that number should be used to complete Attachment A: Personal Net Worth Affidavit.** Attachment A is a **mandatory** document to be submitted for each minority or woman applicant upon which New York State MWBE certification is based and is a part of the MWBE Standard Application and the MWBE Fast Track Application.

All documents referenced above are available online:

www.esd.ny.gov/doing-business-ny/mwbe/mwbe-certification-eligibility-requirements

The personal net worth of each individual upon which certification is relied upon cannot exceed 15 million dollars. According to Article 15-A of the Executive Law: for certification purposes, an individual's personal net worth shall mean the aggregate adjusted net value of the assets of an individual remaining after total liabilities are deducted. Personal net worth includes the individual's share of assets held jointly with said individual's spouse but does not include the individual's ownership interest in the certified minority and women-owned business enterprise; the individual's equity in his or her primary residence; the individual's ownership interest in a holding company established for the exclusive and sole purpose of leasing machinery, equipment, or vehicles exclusively to the certified minority or women-owned business enterprise, that is majority owned by the minority group member or women relied upon for certification, and the holding company does not own any other assets of any kind; or up to seven hundred and fifty thousand dollars of the present cash value of any qualified retirement savings plan or individual retirement account held by the individual less any penalties for early withdrawal.

General Instructions

You must fill out all line items on the **Attachment B: Personal Financial Statement Worksheet** to the best of your ability. On the form, indicate if financial information is for a "*married individual*" or "*single individual.*" On a separate sheet, identify all property that is not held jointly or as community property, and include values and ownership. If necessary, you can use additional

sheet(s) of paper to report all information and details. Once you have determined your adjusted personal net worth, you will **need to transfer that number** to **Attachment A: Personal Net Worth Affidavit**.

Do not include the following in the final Personal Net Worth calculation:

- the individual's ownership interest in the applicant firm;
- the individual's equity in his or her primary residence;
- The individual's ownership interest in a holding company established for the exclusive and sole purpose of leasing machinery, equipment, or vehicles exclusively to the certified minority or women-owned business enterprise, that is majority owned by the minority group member or women relied upon for certification, and the holding company does not own any other assets of any kind;
- up to seven hundred and fifty thousand dollars of the present cash value of any qualified retirement savings plan or individual retirement account held by the individual less any penalties for early withdrawal.

If you reside in a community property state, all assets and liabilities, **except** the ownership interest in the firm, should be halved accordingly on the form, unless there is a separate property agreement that stipulates sole ownership by one individual.

FOR EXAMPLE: John and Mary Smith jointly own their primary residence valued at \$100,000. They each claim 50% ownership on the property. John Smith would only report his 50% interest, \$50,000, on his Personal Net Worth Statement. If you do not reside in a community property state, assets and liabilities may be halved if jointly owned. If assets and liabilities are separately owned, these items should only be reported on the respective owner's form. The preceding does not address each item on the form; however, we have identified certain items on the form that you should pay special attention to since these items are commonly reported inaccurately or misrepresented.

If you have any questions about completing this form, please contact the Division of Minority and Women Business Development at (518) 292-5250 or (212) 803-2414.

Be sure to sign, date, and include your social security number at the end of the statement.

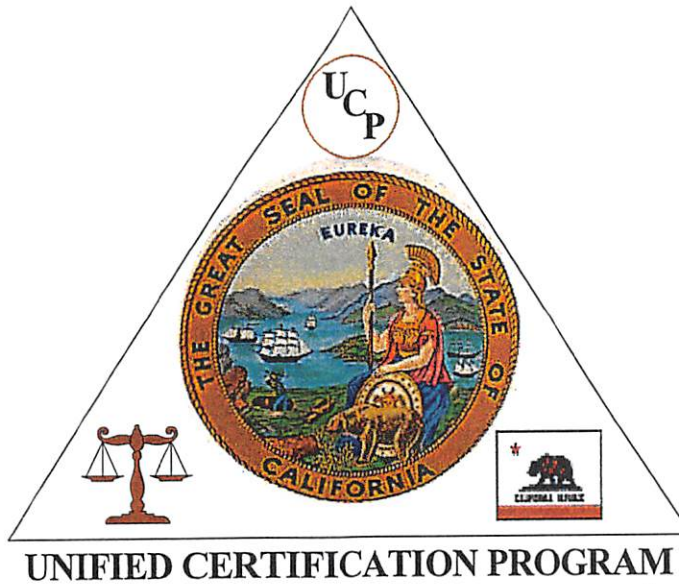
Do not leave any sections blank. Incomplete forms will be returned, and will cause delays in processing the application associated with the net worth documentation.

CALIFORNIA UNIFIED CERTIFICATION PROGRAM (CUCP)

CALIFORNIA

look on page 4

DISADVANTAGED BUSINESS ENTERPRISE (DBE)/
AIRPORT CONCESSIONS DISADVANTAGED BUSINESS ENTERPRISE (ACDBE)
UNIFORM CERTIFICATION APPLICATION



DBE/ACDBE/MBE/WBE Certification Help Line
(213) 847-2684

To access the City of Los Angeles DBE/MBE/WBE
Directory of Certified Firms, please visit our website:
[HTTPS://BCA.LACITY.ORG](https://BCA.LACITY.ORG)

To access the statewide CUCP DBE database, please log onto:
[HTTP://WWW.DOT.CA.GOV/HQ/BEP/FIND_CERTIFIED.HTM](http://www.dot.ca.gov/hq/bep/find_certified.htm)

Send application to*:

**CITY OF LOS ANGELES
DEPARTMENT OF PUBLIC WORKS
Bureau of Contract Administration
Office of Contract Compliance – Centralized Certification Administration
1149 S. Broadway Street, Ste. 300
Los Angeles, CA 90015**

**Only firms located within County of Los Angeles may apply for DBE/MBE/WBE
- see Roster of Certifying Agencies for other options*

CALIFORNIA UNIFIED CERTIFICATION PROGRAM (CUCP)



Please answer the following:

WHICH CITY DEPARTMENT REFERRED YOU TO BE CERTIFIED BY THE OFFICE OF CONTRACT COMPLIANCE? (Check One)

- Department of Water and Power

- Public Works, Bureau of (*circle one*)

Engineering Street Lighting Street Services Sanitation

- Los Angeles World Airports

- Port of Los Angeles

- Other: _____

ARE YOU CURRENTLY BIDDING OR PARTICIPATING ON A CITY CONTRACT?

- YES - NO

ARE YOU CURRENTLY BIDDING OR PARTICIPATING ON AN AIRPORT CONTRACT?

- YES - NO AT: LAWA OTHER _____

IF YES, INDICATE THE FOLLOWING:

AGENCY OR DEPARTMENT: _____

CONTRACT NAME: _____ DUE DATE: _____

ARE YOU BIDDING AS -SUB - PRIME

AND PROVIDE THE FOLLOWING:

- COPY OF RFP/RFB PAGES SHOWING CONTRACT NAME, DUE DATE, & DEPARTMENT CONTACT INFORMATION
- LETTER FROM PRIME CONTRACTOR STATING THEIR INTENTION TO INCLUDE FIRM AS A SUB.

CALIFORNIA UNIFIED CERTIFICATION PROGRAM (CUCP)



Dear Business Owner:

Thank you for your interest in participating in the California Unified Certification Program (CUCP) for Disadvantaged Business Enterprise (DBE) and Airport Concessions Disadvantaged Business Enterprise (ACDBE). As mandated by the United States Department of Transportation (U.S. DOT), 49 Code of Federal Regulations (CFR), Part 23 and 26, all U.S. DOT recipients of federal financial assistance must participate in a statewide UCP by March 2002. The UCP is a "One-Stop Shopping" certification procedure that eliminates the need for DBE/ACDBE firms to obtain certifications from multiple agencies within the State.

The CUCP is charged with the responsibility of certifying firms and compiling and maintaining the Database of certified DBE/ACDBEs for U.S. DOT grantees in California, pursuant to 49 CFR Part 23 and 26. The Database is intended to expand the use of DBE/ACDBE firms by maintaining complete and current information on those businesses and the products and services they can provide to all grantees of California.

Please complete the attached application and supplemental questionnaire if you wish to be considered for DBE/ACDBE certification and your business meets the following general guidelines:

- a) The firm must be at least 51% owned by one or more socially and economically disadvantaged individuals.
- b) The firm must be an independent business, and one or more of the socially and economically disadvantaged owners must control its management and daily operations.
- c) Only existing for-profit "Small Business Concerns," as defined by the Small Business Act and Small Business Administration (SBA) regulations may be certified.

DBE Applicants are first subject to the applicable small business size standards of the SBA. Second, the average annual gross receipts for the firm (including its affiliates) over the previous three fiscal years must not exceed U.S. DOT's cap of \$23.98 million.

ACDBE Applicants are considered a small business if its gross receipts (including its affiliates), averaged over the firm's previous three fiscal years, do not exceed \$56.42 million, with the following exceptions:

- (1) *Banks and financial institutions*: \$1 billion in assets;
- (2) *Car rental companies*: \$75.23 million average annual gross receipts over the firm's three previous fiscal years.
- (3) *Pay telephones*: 1,500 employees;
- (4) *Automobile dealers*: 350 employees.

- d) The Personal Net Worth (PNW) of each socially and economically disadvantaged owner must not exceed \$1.32 million, excluding the individual's ownership interest in the applicant firm and the equity in his/her primary residence.

Socially and economically disadvantaged individual means any individual who is a citizen of the United States (or lawfully admitted permanent resident) and who is a member of the following groups: Black American, Hispanic American, Native American, Asian-Pacific American, Subcontinent Asian American, or Women,

or

Any individual found to be socially and economically disadvantaged on a case-by-case basis by a certifying agency pursuant to the standards of the U.S. DOT 49 CFR Part 26, Appendix E

In order to avoid unnecessary delays, please complete all portions of the application and supplemental questionnaire, placing "N/A" next to items that are not applicable. Include all copies of documents requested on the application, and have the *Affidavit of Certification* notarized. Additional documentation may be requested if it is considered necessary to make a certification determination. Incomplete applications/supplemental questionnaires or applications/supplemental questionnaires without all the required documents will not be evaluated until such documents are submitted. We recommend keeping a copy of all submitted documents for your records.

REMEMBER: It is no longer necessary to apply at more than one agency. If your firm meets the criteria for certification, it will be entered into the Database of DBE/ACDBEs for all U.S. DOT grantees in California. Only firms currently certified as eligible DBE/ACDBEs may participate in the DBE programs of U.S. DOT grantees of California.

The CUCP has Certifying agencies throughout the State to effectively facilitate statewide DBE/ACDBE certification activities. Please forward your completed certification packet to **one** of the agencies serving the county where your firm has its principal place of business (see enclosed Roster of Certifying Agencies).

For Out-of-State Firms: The CUCP cannot process a new application for DBE certification from a firm having its principal place of business in another state unless the firm has already been certified in that state. If your firm is located outside of California and is certified as a DBE in your home state, please forward the following pursuant to *49 CFR Part 26.85*, CUCP Out of State Declaration form, a copy of the approval letter, a complete copy of the application form, all supporting documents and any other information you have submitted (to-date) to your home state or any other state related to your firm's certification to the California Department of Transportation. ACDBE applicants submit the same information to the appropriate ACDBE Certifying Agency (see enclosed Roster of Certifying Agencies).

Notwithstanding any provision of Federal or state information disclosure law, the CUCP shall not release any information that may reasonably be construed as confidential business information to any third party without the written consent of the firm. However, if a USDOT recipient, in connection with its consideration of the eligibility of a firm, makes a written request for certification information from the CUCP, the information will be made available to the other recipient.

CALIFORNIA UNIFIED
CERTIFICATION PROGRAM

(Rev 11/3/2014)

Ohio

Life Insurance Enter the cash surrender value of this asset. In **Section 5**, enter the name of the insurance company, the face value of the policy, cash surrender value, beneficiary names, and loans on the policy.

Other Personal Property and Assets: Enter the total value of personal property and assets. Personal property includes motor vehicles, boats, trailers, jewelry, furniture, household goods, collectibles, clothing, and personally owned vehicles that are leased or rented businesses or other individuals. In **Section 6**, list these assets and enter the present value, the balance of any liabilities, whether the asset is insured, and lien or note information and terms of payments. For accounts and notes receivable, enter the total value of all monies owed to you personally, if any. This should include shareholder loans to the applicant firm, if those exist. If the asset is insured, you may be asked to provide a copy of the policy. You may also be asked to provide a copy of any liens or notes on the property.

Other Business Interests Other than Applicant Firm: Enter the total value of your other business investments (excluding the applicant firm). In **Section 7**, enter information concerning the businesses you hold an ownership interest in, such as sole proprietorships, partnerships, joint ventures, corporations or limited liability corporations (other than the applicant firm).

Liabilities

Mortgages on Real Estate: Enter the total balance on all mortgages payable on real estate.

Loans on Life Insurance: Enter the total value of all loans due on life insurance policies, complete **Section 5**.

Personal Notes & Accounts Payable to Bank and Others: **Section 2**, enter details concerning any liability, including name of note holders, original and current balances, payment terms, and security/collateral information. The entries should include automobile installment accounts. This should not, however, include any mortgage balances as this information is captured in **Section 4**. Do not include loans for your business or mortgages for your properties in this section. You may be asked to submit a copy of note/security agreement, and the most recent account statement.

Other Liabilities: Enter the total value due on all other liabilities not listed in the previous entries. In **Section 8**, report the name of the individual obligated, names of co-signers, description of the liability, the name of the entity owed, the date of the obligation, payment amounts and terms. Note: Do not include contingent liabilities in this section. Contingent liabilities are liabilities that belong to you only if an event(s) should occur. For example, if you have co-signed on a relative's loan, but you are not responsible for the debt until your relative defaults, that is a contingent liability. Contingent liabilities do not count toward your net worth until they become actual liabilities.

Unpaid Taxes: Enter the total amount of all taxes that are currently due but are unpaid and complete **Section 8**. Contingent tax liabilities or anticipated taxes for current should not be included. Describe in detail the name of the individual obligated, names of cosigners, the type of unpaid tax, to whom the tax is payable, due date, amount, and to what property, if any, the tax lien attaches. *If none, state "NONE". You must include documentation, such as tax liens, to support the amount.*

Ohio

Transfer of Assets

If you checked the box indicating "Yes" in this category, provide details on all asset transfers (within 2 years of the date of this personal net worth settlement) to a spouse, domestic partner, relative, the applicant business, or other entity in which you have an ownership or beneficial interest including a trust. Include a description of the asset; names of individuals on the deed, title, note or instrument indicating ownership rights; the names of individuals receiving the assets and their relation to the transferor; the date of the transfer; and the value or consideration received. Submit documentation request on the form related to the transfer.

Signature Page

Check the Box stating "I certify under penalty of criminal prosecution that all information on this form and any additional supporting information submitted with this form is true and complete to the best of my knowledge."

Print your name in the business owner's name box.

Email the form to the email address indicated at the bottom of the PNW statement.

Personal Net Worth Statement

Instructions

The Department of Administrative Services, Equal Opportunity Division (EOD) will use the information provided on the completed Personal Net Worth (PNW) Statement to determine whether the economic disadvantage requirements of Ohio Revised Code 123.152 are met. If there are discrepancies or questions regarding your form, it may be returned to you to correct and complete again.

If necessary, use additional sheets of paper to report all information and details. If you have any questions about completing this form, please contact EOD at 614-466-8380.

General Information

Please complete all Biographical Data: All fields MUST be completed.

All assets must be reported at their current fair market values at the date of your statement. **Assessor's assessed value for real estate, for example, is not acceptable.**

Cash and Cash Equivalents: Enter the total amount of cash or cash equivalents on bank accounts, including checking, savings, money market, certificates of deposit held domestic or foreign.

Brokerage and Custodial Account, Stock Bonds, Retirement Accounts: Report total value in **Section 3**, enter the name of the security, brokerage account, retirement account, etc.; the cost; market value; the date of quotation; and total value as of the date of the PNW statement.

Assets Held in Trust: Enter the total value of the assets held in trust, and provide the names of beneficiaries and trustees, and other information in **Section 6**.

Loans to Shareholders and Other Receivables not listed: Enter amounts loaned to you from your firm, from any other business entity in which you hold an ownership interest, and other receivables not listed above. Complete **Section 6**.

Real Estate: The total value of real estate **excluding your primary residence**. In **Section 4**, please list your primary residence in Column 1, including the address, method of acquisition, date of acquired, names of deed, purchase price, present market value, source of market valuation, names of all mortgage holders, mortgage account number and balance, equity line of credit balance, and amount of payment. List this information for all real estate held. Please ensure that this section contains all real estate owned, including rental properties, commercial properties, personal property leased or rented for business purposes, farm properties, and any other income producing properties, etc. Attach additional sheets if needed.

Washington State

Personal Net Worth Fact Sheet

The Office of Minority and Women's Business Enterprises (OMWBE) certifies small businesses owned by socially and economically disadvantaged persons. An applicant's economic disadvantaged status is verified by his or her personal net worth.

Personal net worth requirements

- The primary owner(s)' personal net worth may not exceed \$1.32 million.
- A person's primary residence and the assets of the certified business do not count toward the personal net worth calculation.
- There are circumstances where an applicant's personal net worth does not exceed \$1.32 million, but the OMWBE determines the person is not economically disadvantaged. The agency would make this determination if the statement of personal net worth and supporting documents demonstrate the individual is able to accumulate substantial wealth. Factors include:
 - Adjusted gross income over the last three years is over \$350,000. The agency takes into consideration if this income was usual and likely to occur in the future, if the earnings were offset by losses, and if the income was reinvested in the firm or used to pay business taxes.
 - The total fair market value of the owner's assets exceed \$6 million.
- <https://omwbe.wa.gov/certification/frequently-asked-questions-faqs-and-fact-sheets/personal-net-worth-fact-sheet#:~:text=Personal%20net%20worth%20requirements,the%20personal%20net%20worth%20calculation.>



Each individual owner relied upon for certification as a minority or women-owned business enterprise (hereinafter "MWBE") must complete this form and provide the applicable supplemental documentation as referenced below as part of the application for certification or recertification.

The personal net worth of each individual upon which certification is relied upon cannot exceed 15 million dollars. For certification purposes, personal net worth shall mean the aggregate adjusted net value of the assets of an individual remaining after total liabilities are deducted. Personal net worth includes the individual's share of assets held jointly with said individual's spouse but does not include the individual's ownership interest in the certified minority and women-owned business enterprise; the individual's equity in his or her primary residence; ownership interest in a holding company established for the exclusive and sole purpose of leasing machinery, equipment, or vehicles exclusively to the certified minority or women-owned business enterprise, that is majority owned by the minority group member or women relied upon for certification, and the holding company does not own any other assets of any kind; or up to seven hundred and fifty thousand dollars of the present cash value of any qualified retirement savings plan or individual retirement account held by the individual less any penalties for early withdrawal.

I, _____, being duly sworn state that my social security number is: _____ - ____ - _____ and I am a woman or a member of a minority group as defined in Article 15-A of the Executive Law. I own _____ percent of the equity in _____, the business applying for certification or re-certification as an M or WBE with New York State. I have read the definition of net worth set forth in the statement above, and have calculated my net worth to be \$ _____.

Further, I understand that I am required to provide, with this affidavit, a true, executed copy of my submitted federal and state personal tax returns including all statements and schedules as filed for the prior taxable year. I also understand that in the event my personal net worth exceeds 1.3 million dollars at the time of this application, I am also required to submit a complete Attachment B: Personal Financial Statement Worksheet in the form or format supplied by the Division of Minority or Women's Business Development online at www.esd.ny.gov/mwbe.html.

I understand the tax returns I have submitted to the Division of Minority and Women Business Development as part of the certification or re-certification process must be true and correct copies of my personal tax returns and include all schedules, statements and amendments which I have submitted to the IRS and the state or, in the event that I have paid taxes in multiple jurisdictions, states where I have filed my most recent state income taxes. By signing below I am attesting that I am providing this as part of the application for certification or re-certification, and acknowledge any false statement made by the applicant will result in the denial of certification and is punishable as a Class E Felony under Section 175.35 of the Penal Law.

(Signature)

(Print)

State of New York, County of _____. On this _____ day of _____ 20____, before me appeared

(Name) _____ to me personally known, who being duly sworn, properly did execute the foregoing affidavit and did state that s/he was properly authorized by

(Name of Firm) _____ to execute the affidavit and did so as his or her free act and deed.

Notary Public _____

Commission Expires _____

Print Form

Why does JTA Require a Personal Net Worth Statement?

Effective fiscal year July 1, 2000 - June 30, 2001, the U. S. Department of Transportation (USDOT) Disadvantaged Business Enterprise (DBE) program has added a new requirement for qualifying as a DBE; the personal net worth (PNW) statement of each minority individual who owns and controls the firm as a part of the 51% minority ownership must be less than \$1.32 million. When an individual's personal net worth exceeds the \$1.32 million threshold, the individual is no longer eligible to participate in the Federal DBE Program. DBE business owners who decide not to provide a PNW statement and will not be considered a DBE for USDOT assisted contracts. **The PNW excludes the value of the DBE business and the personal residence of the DBE owner(s).**

Maryland

OPERATION GUARANTEED HELP -- MDOT special assistance for the DBE/MBEs certified by MDOT who need business assistance. The certified firm's owner can call the MBE Hotline at 1-800-544-6056 and a business consultant will respond within 24 hours, to understand the issues/questions and make arrangements to meet with the owner, at no cost to the DBE/MBE.

Assistance includes, but is not limited to, the following:

- A. Office procedures
- B. Maintaining records
- C. Bidding techniques
- D. Estimating techniques
- E. Work programming
- F. Any technical problems
- G. Practical ways of getting a job done
- H. Bonding
- I. Insurance
- J. Other questions or concerns.

OUT-OF-STATE FIRM -- A firm whose principal place of business is in a state or location other than Maryland.

OVERCONCENTRATION -- A market condition described in 49 CFR Part 26 in which the number of DBEs and their business activities in an area of work causes an undue economic burden to non-DBE firms who participate in this area of work.

OWNERSHIP -- See Section on Eligibility.

PARTNERSHIP -- An unincorporated association of two or more persons to carry on as co-owners of a business for profit. For a partnership to be deemed eligible for certification under the DBE/MBE Program, the disadvantaged or minority person's interest must be at least 51 percent of the partnership capital.

PERSONAL NET WORTH -- The net value of the assets of an individual remaining after total liabilities are deducted. An individual's personal net worth does not include: the individual's ownership interest in an applicant or participating DBE firm or the individual's equity in his or her primary place of residence. An individual's personal net worth includes only his or her own share of assets held jointly or as community property with the individual's spouse.

Maryland

ATTACHMENT A: NYS MWBE CERTIFICATION
INDIVIDUAL PERSONAL NET WORTH AFFIDAVIT
Division of Minority and Women Business Development

Each individual owner relied upon for certification as a minority or women-owned business enterprise (hereinafter "MWBE") must complete this form and provide the applicable supplemental documentation as referenced below as part of the application for certification or recertification.

The personal net worth of each individual upon which certification is relied upon cannot exceed 3.5 million dollars. For certification purposes, personal net worth shall mean the aggregate adjusted net value of the assets of an individual remaining after total liabilities are deducted. Personal net worth includes the individual's share of assets held jointly with said individual's spouse but does not include the individual's ownership interest in the certified minority and women-owned business enterprise, the individual's equity in his or her primary residence, or up to five hundred thousand dollars of the present cash value of any qualified retirement savings plan or individual retirement account held by the individual less any penalties for early withdrawal.

I, _____, being duly sworn state that my social security number is: _____ - _____ - _____ and I am a woman or a member of a minority group as defined in Article 15-A of the Executive Law. I own _____ percent of the equity in _____, the business applying for certification or re-certification as an M or WBE with New York State. I have read the definition of net worth set forth in the statement above, and have calculated my net worth to be \$_____.

Further, I understand that I am required to provide, with this affidavit, a true, executed copy of my submitted federal and state personal tax returns including all statements and schedules as filed for the prior taxable year. I also understand that in the event my personal net worth exceeds 1.3 million dollars at the time of this application, I am also required to submit a complete Attachment B: Personal Financial Statement Worksheet in the form or format supplied by the Division of Minority or Women's Business Development online at www.esd.ny.gov/mwbe.html.

I understand the tax returns I have submitted to the Division of Minority and Women Business Development as part of the certification or re-certification process must be true and correct copies of my personal tax returns and include all schedules, statements and amendments which I have submitted to the IRS and the state or, in the event that I have paid taxes in multiple jurisdictions, states where I have filed my most recent state income taxes. By signing below I am attesting that I am providing this as part of the application for certification or re-certification, and acknowledge any false statement made by the applicant will result in the denial of certification and is punishable as a Class E Felony under Section 175.35 of the Penal Law.

(Signature)

(Print)

State of New York, County of _____. On this _____ day of _____ 20____, before me appeared

(Name) _____ to me personally known, who being duly sworn, properly did execute the foregoing affidavit and did state that s/he was properly authorized by

(Name of Firm) _____ to execute the affidavit and did so as his or her free act and deed.

Notary Public _____

Commission Expires _____