



CLEVELAND  
AIRPORT SYSTEM

CLE .....  
BKL .....

**OFFICE OF COMPLIANCE AND INCLUSION  
(OCI)**

**SMALL BUSINESS ENTERPRISE  
(SBE)**

**CERTIFICATION VERIFICATION  
PROCESS**

**CLEVELAND AIRPORT SYSTEM DISADVANTAGED BUSINESS ENTERPRISE (DBE)**  
**SMALL BUSINESS ENTERPRISE (SBE) PARTICIPATION PLAN**  
**FEBRUARY 2012**

**A. Objective (49 CFR PART 26.39)**

Recognizing that the DBE Program goals should be met through a mixture of race conscious and race neutral methods and, that by definition, DBE firms are small businesses, the Cleveland Airport System (Airport) seeks to implement a small business element into its current DBE policy in accordance with applicable law. The Airport is including this element to facilitate competition by and expand opportunities for small businesses. The Airport is committed to taking all reasonable steps to eliminate obstacles to small businesses that may preclude their participation in procurements as prime contractors or subcontractors. The Airport will meet its objectives using a combination of the following methods and strategies:

1. Set asides: Where feasible, the Airport will establish a percentage of the total value of all prime contract and subcontract awards to be set aside for participation by small businesses on FAA-assisted contracts. A "set-aside" is the reserving of a contract or a portion of a contract exclusively for participation by small businesses. This requires that the Airport and its prime contractors/consultants set aside a portion of the value of each contract for participation by small businesses. A small business set-aside is open to all small businesses regardless of the owner's gender, race or geographic location.
2. Unbundling: The Airport, where feasible, may "unbundle" projects or separate large contracts which may be suitable for small business participation. The Airport will conduct contract reviews on each FAA-assisted contract to determine whether portions of the project could be unbundled or bid separately. Similarly, the Airport will encourage its prime contractors or prime consultants to unbundle contracts to facilitate participation by small businesses.

**B. Definitions**

1. Small Business: A small business is a business that is independently owned and operated, is organized for profit, and is not dominant in its field. Depending on the industry, size standard eligibility is based on the average number of employees for the preceding twelve months or on sales volume averaged over a three-year period. Small businesses must

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meet the definitions specified in Section 3 of the Small Business Act and the Small Business Administration regulations (13 CFR Part 121).

2. Disadvantaged Business: A for profit small business (as defined by the Small Business Administration)- That is at least 51 percent owned by one or more individuals who are both socially and economically disadvantaged or, in the case of a corporation, in which 51 percent of the stock is owned by one or more such individuals; whose socially and economically disadvantaged owners do not exceed the current PNW cap of \$1.32 million; whose management and daily business operations are controlled by one or more of the socially and economically disadvantaged individuals who own the firm; and has been certified with the State of Ohio Unified Certification Program (UCP) in accordance with 49 CFR Part 26.

### **C. Certification and Verification Procedures**

Firms seeking certification with the Airport must not exceed fifty percent (50%) of the NAICS Code threshold established by the SBA for their specific industry. All firms whose gross receipts exceed 50% of its industry NAICS threshold will not be certified as a SBE with the Airport.

The Airport will accept the following certifications for evaluation and possible certification and participation in the small business element of the Airport's DBE Program with applicable stipulations:

1. City of Cleveland, Office of Equal Opportunity Cleveland Small Business Certification (CSB) only.
2. Cuyahoga County Small Business Enterprise Certification
3. US SBA 8(a) Certification
4. Northeast Ohio Regional Sewer District Certification
5. Northern Ohio Supplier Diversity Council

\*All firms certified with the entities listed above seeking Airport small business certification must submit the most recent three (3) years business tax returns, complete sections 1 and 3 part B of the Ohio UCP DBE application and submit proof of certification and areas of expertise with its Airport Small Business application.

\*\*For purposes of the small business element of the Airport's DBE program, small businesses which are also owned and controlled by socially disadvantaged individuals will be encouraged to seek DBE certification.

\*\*\*Minority and women-owned business enterprises awarded contracts under the small business enterprise set-aside will be strongly encouraged to seek DBE certification in order to be counted towards race neutral DBE participation.

**D. Registry**

The Airport will maintain an Airport Small Business Registry for all firms it grants SBE certification. This registry is separate from the Ohio UCP DBE Directory and maintained solely by the Airport.

**E. Contracts and Goals**

1. The project manager (PM) and DBELO or the Small Business Officer (SBO) will review FAA-assisted purchases and contracts to assess the small business opportunities, giving consideration to the size and scope of each purchase or contract to establish the set aside percentage. **This set-aside is in addition to the DBE contract goals which may be required pursuant to applicable law or policy.** All Airport FAA-assisted contracts will have a minimum of a ten percent (10%) Small Business Enterprise (SBE) set-aside goal. All FAA-assisted contracts will be reviewed individually to determine if the SBE 10% set-aside goal is appropriate. The goal may be increased or decreased based on size and scope of the purchase. If it is determined after consideration of size and scope that a SBE goal of zero percent (0%) or no goal is to be assigned to a contract, the PM and/or SBO will document why a small business set aside goal is inappropriate. FAA-assisted purchases and contracts valued at \$1 million or less will be SBE set-aside contracts. We will request the successful SBE contractor utilize certified DBE firms as subcontractors on the project.
2. Unbundling: The Airport, where feasible, may "unbundle" projects or separate large contracts which may be suitable for small business participation. The Airport will conduct contract reviews on each FAA-assisted contract to determine whether portions of the project could be unbundled or bid separately. Similarly, the Airport will encourage its prime contractors or prime consultants to unbundle contracts to facilitate participation by small businesses.

**F. Monitoring**

All FAA-assisted contracts will be monitored monthly for small business participation.

**G. Enforcement**

1. A firm that does not meet the eligibility criteria of the Airport's small business program and that attempts to participate in a FAA-assisted program as a small business enterprise on the basis of false, fraudulent, or deceitful statements or representations or under circumstances indicating a serious lack of business integrity or honesty, the Airport may withhold payment, initiate suspension or debarment proceedings against that firm and recommend to The Department of Justice additional actions.
2. The Airport may refer to the Department of Justice, for prosecution under 18 U.S.C. 1001 or other applicable provisions of law, any person who makes a false or fraudulent statement in connection with participation of a small business in any FAA-assisted program or otherwise violates applicable Federal statutes

#### **H. Implementation Schedule**

The Airport will implement the small business element within six (6) months of the FAA's approval of the Small Business Participation Plan.

#### **I. Assurances**

The Airport makes the following assurances:

1. The DBE Program, including its small business element is not prohibited by state law;
2. Certified DBEs that meet the size criteria established under the DBE Program are presumptively eligible to participate in the small business element of the DBE Program;
3. There are no geographic or local preferences or limitations imposed on FAA-assisted contracts and the DBE Program is open to small businesses regardless of their location;
4. There are no limits on the number of contracts awarded to firms participating in the DBE Program;
5. Reasonable effort will be made to avoid creating barriers to the use of new, emerging, or untried businesses; and
6. Aggressive steps will be taken to encourage those minority and women owned firms participating in the small business element of the DBE Program that are eligible for DBE certification to become certified.

Please submit the following documents applicable to your company. You may be requested to submit other documentation as requested upon review by Emerging Business enterprise Development.

<b>Please submit the following for review:</b>	
Completed Application UCP Application Sect. 1 and 3	
NAICIS codes with documentation	
Copy of Certification from Approved Entity as an SBE	
Last 3 years Federal Business Tax Returns	

CAS- SBE NAICS Industry Size Standards

NAICS Codes	NAICS Industry Description	Size Standards in millions of dollars	Size standards in number of employees	CAS- Micro SBE Size Standards in millions of dollars	CAS- Micro SBE Size standards in number of employees
<b>Sector 23 – Construction</b>					
<b>Subsector 236 – Construction of Buildings</b>					
236115	New Single-family Housing Construction (Except For-Sale Builders)	\$33.5		\$16.75	
236116	New Multifamily Housing Construction (except For-Sale Builders)	\$33.5		\$16.75	
236117	New Housing For-Sale Builders	\$33.5		\$16.75	
236118	Residential Remodelers	\$33.5		\$16.75	
236210	Industrial Building Construction	\$33.5		\$16.75	
236220	Commercial and Institutional Building Construction	\$33.5		\$16.75	
<b>Subsector 237 – Heavy and Civil Engineering Construction</b>					
237110	Water and Sewer Line and Related Structures Construction	\$33.5		\$16.75	
237120	Oil and Gas Pipeline and Related Structures Construction	\$33.5		\$16.75	
237130	Power and Communication Line and Related Structures Construction	\$33.5		\$16.75	
237210	Land Subdivision	\$7.0			
237310	Highway, Street, and Bridge Construction	\$33.5		\$16.75	
237990	Other Heavy and Civil Engineering Construction	\$33.5		\$16.75	
237990_Except	Dredging and Surface Cleanup Activities <sup>2</sup>	\$20.0		\$10.00	
<b>Subsector 238 – Specialty Trade Contractors</b>					
238110	Poured Concrete Foundation and Structure Contractors	\$14.0		\$7.00	
238120	Structural Steel and Precast Concrete Contractors	\$14.0		\$7.00	
238130	Framing Contractors	\$14.0		\$7.00	
238140	Masonry Contractors	\$14.0		\$7.00	
238150	Glass and Glazing Contractors	\$14.0		\$7.00	
238160	Roofing Contractors	\$14.0		\$7.00	
238170	Siding Contractors	\$14.0		\$7.00	
238190	Other Foundation, Structure, and Building Exterior Contractors	\$14.0		\$7.00	
238210	Electrical Contractors and Other Wiring Installation Contractors	\$14.0		\$7.00	
238220	Plumbing, Heating, and Air-Conditioning Contractors	\$14.0		\$7.00	
238290	Other Building Equipment Contractors	\$14.0		\$7.00	
238310	Drywall and Insulation Contractors	\$14.0		\$7.00	
238320	Painting and Wall Covering Contractors	\$14.0		\$7.00	
238330	Flooring Contractors	\$14.0		\$7.00	
238340	Tile and Terrazzo Contractors	\$14.0		\$7.00	
238350	Finish Carpentry Contractors	\$14.0		\$7.00	
238390	Other Building Finishing Contractors	\$14.0		\$7.00	
238910	Site Preparation Contractors	\$14.0		\$7.00	
238990	All Other Specialty Trade Contractors <sup>13</sup>	\$14.0		\$7.00	
<b>Sector 31 – 33 – Manufacturing</b>					
<b>Subsector 327 – Nonmetallic Mineral Product Manufacturing</b>					
327110	Pottery, Ceramics, and Plumbing Fixture Manufacturing		750		375
327120	Clay Building Material and Refractories Manufacturing		750		375
327211	Flat Glass Manufacturing		1,000		500
327212	Other Pressed and Blown Glass and Glassware Manufacturing		750		375
327213	Glass Container Manufacturing		750		375
327215	Glass Product Manufacturing Made of Purchased Glass		500		250
327310	Cement Manufacturing		750		375
327320	Ready-Mix Concrete Manufacturing		500		250
327331	Concrete Block and Brick Manufacturing		500		250
327332	Concrete Pipe Manufacturing		500		250
327390	Other Concrete Product Manufacturing		500		250
327410	Lime Manufacturing		500		250
327420	Gypsum Product Manufacturing		1,000		500
327910	Abrasive Product Manufacturing		500		250
327991	Cut Stone and Stone Product Manufacturing		500		250
327992	Ground or Treated Mineral and Earth Manufacturing		500		250
327993	Mineral Wool Manufacturing		750		375
327999	All Other Miscellaneous Nonmetallic Mineral Product Manufacturing		500		250

CAS-SBE NAICS Industry Size Standards

Subsector 331 – Primary Metal Manufacturing				
331110	Iron and Steel Mills and Ferroalloy Manufacturing		1,000	500
331210	Iron and Steel Pipe and Tube Manufacturing from Purchased Steel		1,000	500
331221	Rolled Steel Shape Manufacturing		1,000	500
331222	Steel Wire Drawing		1,000	500
331313	Alumina Refining and Primary Aluminum Production		1,000	500
331314	Secondary Smelting and Alloying of Aluminum		750	375
331315	Aluminum Sheet, Plate and Foil Manufacturing		750	375
331318	Other Aluminum Rolling, Drawing, and Extruding		750	375
331410	Nonferrous Metal (except Aluminum) Smelting and Refining		1,000	500
331420	Copper Rolling, Drawing, Extruding, and Alloying		1,000	500
331491	Nonferrous Metal (except Copper and Aluminum) Rolling, Drawing, and Extruding		750	375
331492	Secondary Smelting, Refining, and Alloying of Nonferrous Metal (except Copper and Aluminum)		750	375
331511	Iron Foundries		500	250
331512	Steel Investment Foundries		500	250
331513	Steel Foundries (except Investment)		500	250
331523	Nonferrous Metal Die-Casting Foundries		500	250
331524	Aluminum Foundries (except Die-Casting)		500	250
331529	Other Nonferrous Metal Foundries (except Die-Casting)		500	250
Subsector 332 – Fabricated Metal Product Manufacturing				
332111	Iron and Steel Forging		500	250
332112	Nonferrous Forging		500	250
332114	Custom Roll Forming		500	250
332117	Powder Metallurgy Part Manufacturing		500	250
332119	Metal Crown, Closure, and Other Metal Stamping (except Automotive)		500	250
332215	Metal Kitchen Cookware, Utensil, Cutlery, and Flatware (except Precious) Manufacturing		500	250
332216	Saw Blade and Handtool Manufacturing		500	250
332311	Prefabricated Metal Building and Component Manufacturing		500	250
332312	Fabricated Structural Metal Manufacturing		500	250
332313	Plate Work Manufacturing		500	250
332321	Metal Window and Door Manufacturing		500	250
332322	Sheet Metal Work Manufacturing		500	250
332323	Ornamental and Architectural Metal Work Manufacturing		500	250
332410	Power Boiler and Heat Exchanger Manufacturing		500	250
332420	Metal Tank (Heavy Gauge) Manufacturing		500	250
332431	Metal Can Manufacturing		1,000	500
332439	Other Metal Container Manufacturing		500	250
332510	Hardware Manufacturing		500	250
332613	Spring Manufacturing		500	250
332618	Other Fabricated Wire Product Manufacturing		500	250
332710	Machine Shops		500	250
332721	Precision Turned Product Manufacturing		500	250
332722	Bolt, Nut, Screw, Rivet and Washer Manufacturing		500	250
332811	Metal Heat Treating		750	375
332812	Metal Coating, Engraving (except Jewelry and Silverware), and Allied Services to Manufacturers		500	250
332813	Electroplating, Plating, Polishing, Anodizing and Coloring		500	250
332911	Industrial Valve Manufacturing		500	250
332912	Fluid Power Valve and Hose Fitting Manufacturing		500	250
332913	Plumbing Fixture Fitting and Trim Manufacturing		500	250
332919	Other Metal Valve and Pipe Fitting Manufacturing		500	250
332991	Ball and Roller Bearing Manufacturing		750	375
332992	Small Arms Ammunition Manufacturing		1,000	500
332993	Ammunition (except Small Arms) Manufacturing		1,500	750
332994	Small Arms, Ordnance, and Ordnance Accessories Manufacturing		1,000	500
332996	Fabricated Pipe and Pipe Fitting Manufacturing		500	250
332999	All Other Miscellaneous Fabricated Metal Product Manufacturing		750	375

CAS- SBE NAICS Industry Size Standards

Subsector 484 – Truck Transportation				
484121	General Freight Trucking, Long-Distance, Truckload	\$25.5		\$12.75
484122	General Freight Trucking, Long-Distance, Less Than Truckload	\$25.5		\$12.75
484210	Used Household and Office Goods Moving	\$25.5		\$12.75
484220	Specialized Freight (except Used Goods) Trucking, Local	\$25.5		\$12.75
484230	Specialized Freight (except Used Goods) Trucking, Long-Distance	\$25.5		\$12.75
Sector 54 – Professional, Scientific and Technical Services				
Subsector 541 – Professional, Scientific and Technical Services				
541110	Offices of Lawyers	\$10.0		\$5.00
541191	Title Abstract and Settlement Offices	\$10.0		\$5.00
541199	All Other Legal Services	\$10.0		\$5.00
541211	Offices of Certified Public Accountants	\$19.0		\$9.50
541213	Tax Preparation Services	\$19.0		\$9.50
541214	Payroll Services	\$19.0		\$9.50
541219	Other Accounting Services	\$19.0		\$9.50
541310	Architectural Services	\$7.0		\$3.50
541320	Landscape Architectural Services	\$7.0		\$3.50
541330	Engineering Services	\$14.0		\$7.00
541340	Drafting Services	\$7.0		\$3.50
541350	Building Inspection Services	\$7.0		\$3.50
541360	Geophysical Surveying and Mapping Services	\$14.0		\$7.00
541370	Surveying and Mapping (except Geophysical) Services	\$14.0		\$7.00
541380	Testing Laboratories	\$14.0		\$7.00
541410	Interior Design Services	\$7.0		\$3.50
541420	Industrial Design Services	\$7.0		\$3.50
541430	Graphic Design Services	\$7.0		\$3.50
541490	Other Specialized Design Services	\$7.0		\$3.50
541511	Custom Computer Programming Services	\$25.5		\$12.75
541512	Computer Systems Design Services	\$25.5		\$12.75
541513	Computer Facilities Management Services	\$25.5		\$12.75
541519	Other Computer Related Services	\$25.5		\$12.75
541611	Administrative Management and General Management Consulting Services	\$14.0		\$7.00
541612	Human Resources Consulting Services	\$14.0		\$7.00
541613	Marketing Consulting Services	\$14.0		\$7.00
541614	Process, Physical Distribution and Logistics Consulting Services	\$14.0		\$7.00
541618	Other Management Consulting Services	\$14.0		\$7.00
541620	Environmental Consulting Services	\$14.0		\$7.00
541890	Other Scientific and Technical Consulting Services	\$14.0		\$7.00
541810	Advertising Agencies <sup>10</sup>	\$14.0		\$7.00
541820	Public Relations Agencies	\$14.0		\$7.00
541830	Media Buying Agencies	\$14.0		\$7.00
541840	Media Representatives	\$14.0		\$7.00
541850	Outdoor Advertising	\$14.0		\$7.00
541860	Direct Mail Advertising	\$14.0		\$7.00
541890	Other Services Related to Advertising	\$14.0		\$7.00
541910	Marketing Research and Public Opinion Polling	\$14.0		\$7.00
541921	Photography Studios, Portrait	\$7.0		\$3.50
541922	Commercial Photography	\$7.0		\$3.50
541930	Translation and Interpretation Services	\$7.0		\$3.50
541940	Veterinary Services	\$7.0		\$3.50
541990	All Other Professional, Scientific and Technical Services	\$14.0		\$7.00

CAS- SBE NAICS Industry Size Standards

<b>Subsector 561 – Administrative and Support Services</b>				
561110	Office Administrative Services	\$7.0		\$3.50
561210	Facilities Support Services <sup>12</sup>	\$35.5		\$17.75
561311	Employment Placement Agencies	\$25.5		\$12.75
561312	Executive Search Services	\$25.5		\$12.75
561320	Temporary Help Services	\$25.5		\$12.75
561330	Professional Employer Organizations	\$25.5		\$12.75
561421	Telephone Answering Services	\$14.0		\$7.00
561422	Telemarketing Bureaus and Other contact Centers	\$14.0		\$7.00
561431	Private Mail Centers	\$14.0		\$7.00
561439	Other Business Service Centers (including Copy Shops)	\$14.0		\$7.00
561440	Collection Agencies	\$14.0		\$7.00
561491	Repossession Services	\$14.0		\$7.00
561492	Court Reporting and Stenotype Services	\$14.0		\$7.00
561499	All Other Business Support Services	\$14.0		\$7.00
561510	Travel Agencies <sup>10</sup>	\$19.0		\$9.50
561520	Tour Operators <sup>10</sup>	\$19.0		\$9.50
561591	Convention and Visitors Bureaus	\$19.0		\$9.50
561599	All Other Travel Arrangement and Reservation Services	\$19.0		\$9.50
561612	Security Guards and Patrol Services	\$19.0		\$9.50
561613	Armored Car Services	\$19.0		\$9.50
561621	Security Systems Services (except Locksmiths)	\$19.0		\$9.50
561622	Locksmiths	\$19.0		\$9.50
561720	Janitorial Services	\$16.5		\$8.25
561730	Landscaping Services	\$7.0		\$3.50
561740	Carpet and Upholstery Cleaning Services	\$5.0		\$2.50
561790	Other Services to Buildings and Dwellings	\$7.0		\$3.50
561910	Packaging and Labeling Services	\$10.0		\$5.00
561920	Convention and Trade Show Organizers <sup>10</sup>	\$10.0		\$5.00
561990	All Other Support Services	\$10.0		\$5.00
<b>Subsector 562 – Waste Management and Remediation Services</b>				
562111	Solid Waste Collection	\$35.5		\$17.75
562112	Hazardous Waste Collection	\$35.5		\$17.75
562119	Other Waste Collection	\$35.5		\$17.75
562211	Hazardous Waste Treatment and Disposal	\$35.5		\$17.75
562212	Solid Waste Landfill	\$35.5		\$17.75
562213	Solid Waste Combustors and Incinerators	\$35.5		\$17.75
562910	Remediation Services	\$19.0		
562910_Except	Environmental Remediation Services <sup>14</sup>		500	250
562920	Materials Recovery Facilities	\$19.0		\$9.50
562991	Septic Tank and Related Services	\$7.0		\$3.50
562998	All Other Miscellaneous Waste Management Services	\$7.0		\$3.50

DBE Unified Certification Application

SECTION 1: COMPANY INFORMATION

A. General Information

1. *Legal name of business:		2. *Other names used by business:	
3. Website (if have one):		4. *Federal tax ID:	
5. *Company phone #:	6. Other phone #:	7. Company fax #:	
8. E-mail communications: <input type="checkbox"/> Yes <input type="checkbox"/> No		9. *County	
10. *Street address of firm (No P.O. box):		City:	State: Zip:
11. Mailing address of firm (if different):		City:	State: Zip:

\*Indicates required field

**DBE Unified Certification Application**

**B. Business Profile**

1. *Date the firm was established: ___/___/___	2. *I/We have owned this firm since: ___/___/___												
3. *Method of acquisition (check all that apply): <input type="checkbox"/> Started new <input type="checkbox"/> Inherited <input type="checkbox"/> Purchased existing <input type="checkbox"/> Merger or consolidation <input type="checkbox"/> Secured concession <input type="checkbox"/> Other (explain)													
4. *Number of employees: Full time _____ Part time _____													
5. *Legal structure (check all that apply): <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Limited Liability Partnership <input type="checkbox"/> Partnership <input type="checkbox"/> Limited Liability Corporation <input type="checkbox"/> S-Corporation <input type="checkbox"/> Joint Venture <input type="checkbox"/> C-Corporation													
6. *Has your firm ever existed under different ownership, a different type of ownership, or a different name? <input type="checkbox"/> Yes <input type="checkbox"/> No, If Yes, explain:													
7. *Does this firm rely on any other firm for management functions or employee payroll? <input type="checkbox"/> Yes <input type="checkbox"/> No, If Yes, explain:													
8. *Specify the annual gross receipts of the firm for the last 3 complete fiscal years: <table style="width:100%; border: none;"> <tr> <td style="width: 50%;">Year _____</td> <td>Total receipts</td> </tr> <tr> <td>\$ _____</td> <td></td> </tr> <tr> <td>Year _____</td> <td>Total receipts</td> </tr> <tr> <td>\$ _____</td> <td></td> </tr> <tr> <td>Year _____</td> <td>Total receipts</td> </tr> <tr> <td>\$ _____</td> <td></td> </tr> </table>		Year _____	Total receipts	\$ _____		Year _____	Total receipts	\$ _____		Year _____	Total receipts	\$ _____	
Year _____	Total receipts												
\$ _____													
Year _____	Total receipts												
\$ _____													
Year _____	Total receipts												
\$ _____													
9. *Type(s) of work <i>(NAICS code will be assigned based on type of work description. Provide as much description as possible.)</i> a. Type of work description:  b. Type of work description:  c. Type of work description:													

\*Indicates required field

**SECTION 2: COMPANY OWNERS AND REPRESENTATIVES**

**Instructions:**

- This application must include every individual with ownership in the firm, every individual who is an officer of the company or on the board of directors, and every employee with significant responsibilities as listed in section B.
- One of the individuals entered must be designated as the company contact. The company contact will be the person to whom future correspondence will be addressed.
- If necessary, copy the pages of this application to enter information for additional individuals.
  - ⇒ At the top of each page is a place for the owner or representative's name. This is critical if your application has more than one individual—it will allow you to keep track of which owner or representative the information pertains to.

**A. General Information (Company Owner or Representative)**

1. *Name (first, middle initial, last):	2. *Role: <input type="checkbox"/> Company Owner <input type="checkbox"/> Company Representative	3. *Title:
4. *Gender: <input type="checkbox"/> Male <input type="checkbox"/> Female	5. *Ethnic group membership (check all that apply): <input type="checkbox"/> White Caucasian <input type="checkbox"/> African American <input type="checkbox"/> Hispanic <input type="checkbox"/> Native American <input type="checkbox"/> Asian Pacific <input type="checkbox"/> Subcontinent Asian <input type="checkbox"/> Other (specify) _____	
6. *Salary: \$ _____		
7. Phone #: (____) _____ - _____ ext _____		
8. *Is this owner or representative the company contact? (One, and only one, owner or representative must be designated as the company contact.)		<input type="checkbox"/> Yes <input type="checkbox"/> No
9. *Enable online account? <input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, enter email address: _____		

\*Indicates required field

**DBE Unified Certification Application**

Name (first, middle initial, last):

**Instructions:**

- Owner information must be provided for every company owner, regardless of the percentage of ownership. If necessary, copy the pages of this application to add additional owners.

**C. Personal Information (Company Owner)**

1. *Home address (street and number):	City:	State:	Zip:	
2. *Home phone #:	3. *Ownership percentage:	4. *Married status <input type="checkbox"/> Married <input type="checkbox"/> Single		
5. *U.S. citizen? <input type="checkbox"/> Yes <input type="checkbox"/> No	6. If No, legal permanent resident? <input type="checkbox"/> Yes <input type="checkbox"/> No			
7. Familial relationship to other owners:				
8. Has any trust been created for the benefit of this disadvantaged owner? If Yes, explain: <input type="checkbox"/> Yes <input type="checkbox"/> No				
9. *Number of years as an owner?				
10. Please list all investments made to acquire current ownership stake in the company:				
Date	Ownership %	# of Shares	Share Class	Investment
*1.				Cash \$
				Real Estate \$
				Equipment \$
				Other \$
2.				Cash \$
				Real Estate \$
				Equipment \$
				Other \$
3.				Cash \$
				Real Estate \$
				Equipment \$
				Other \$
11. Do any of your immediate family members own or manage another company? <input type="checkbox"/> Yes <input type="checkbox"/> No				
If Yes, then list (use additional space if needed):				
Name	Relationship	Company	Type of Business	Own or Manage?
1.				
2.				
3.				

\*Indicates required field

**DBE Unified Certification Application**

Name (first, middle initial, last):

**Instructions:**

- Complete the following worksheets first, then use the information to complete the balance sheet at the end of the section.
- Complete all fields of an applicable worksheet. For example, if an owner has stocks, be sure to provide Security Name, Number of Shares, and Year-end Market Value per Share.
- If more than one owner is applying, supply the following information for each owner (*make copies of these pages if necessary*).

**D. Personal Net Worth Worksheets (Required for all owners)**

Enter year for which the following net worth worksheets apply:

<b>Life Insurance Worksheet</b>			
Insurance Company	Face Amount	Cash Surrender Value	Beneficiaries
1.			
2.			
3.			
4.			

<b>Stocks and Bonds Worksheet</b>		
Security Name	Number of Shares	Year-end Market Value per Share
1.		
2.		
3.		
4.		

<b>Unpaid Taxes Worksheet</b>	
Type of Tax	Amount
1.	
2.	
3.	
4.	

**DBE Unified Certification Application**

Name (first, middle initial, last): \_\_\_\_\_

**Real Estate and Real Estate Mortgages Worksheet**

Type of Property	Street Address	Date Purchased	Original Cost	Current Estimated Value
1.				

Is there a mortgage on the property?  Yes  No *(If Yes, complete the mortgage holder information for each mortgage on the property.)*

Name of mortgage holder: \_\_\_\_\_ Mortgage balance: \$ \_\_\_\_\_

Mortgage holder address:  
 Street (No P.O. box): \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Type of Property	Street Address	Date Purchased	Original Cost	Current Estimated Value
2.				

Is there a mortgage on the property?  Yes  No *(If Yes, complete the mortgage holder information for each mortgage on the property.)*

Name of mortgage holder: \_\_\_\_\_ Mortgage balance: \$ \_\_\_\_\_

Mortgage holder address:  
 Street (No P.O. box): \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Type of Property	Street Address	Date Purchased	Original Cost	Current Estimated Value
3.				

Is there a mortgage on the property?  Yes  No *(If Yes, complete the mortgage holder information for each mortgage on the property.)*

Name of mortgage holder: \_\_\_\_\_ Mortgage balance: \$ \_\_\_\_\_

Mortgage holder address:  
 Street (No P.O. box): \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

**DBE Unified Certification Application**

Name (first, middle initial, last):

Other Personal Property Worksheet		
Asset Name	Asset Type	Current Estimated Value
1.		
2.		
3.		
4.		

Other Assets Worksheet		
Asset Name	Asset Type	Current Estimated Value
1.		
2.		
3.		
4.		

Notes Payable Worksheet						
Noteholder Name	Noteholder Address	Original Balance	Current Balance	Payment Amount	Payment Frequency	Collateral Type
1.						
2.						
3.						
4.						

Other Liabilities Worksheet	
Liability	Amount
1.	
2.	
3.	
4.	

**DBE Unified Certification Application**

Name (first, middle initial, last):

**E. Personal Net Worth Statement** (Required for all owners)

<b>Balance Sheet</b>			
<b>Assets</b>	<b>(Omit cents)</b>	<b>Liabilities</b>	<b>(Omit cents)</b>
Cash on hand and in banks:	\$	Accounts payable:	\$
Savings accounts:	\$	Notes payable to banks and others (worksheet):	\$
IRA or other retirement accounts:	\$		
Accounts and notes receivable:	\$	Installment account (other):	\$
Life Insurance (worksheet):	\$	Loan on life insurance:	\$
Stocks and bonds (worksheet):	\$	Unpaid taxes (worksheet):	\$
Real estate (worksheet):	\$	Mortgages on real estate (worksheet):	\$
Automobiles-estimated current value:	\$	Installment account (auto):	\$
Other personal property (worksheet):	\$		
Other assets (worksheet):	\$	Other liabilities (worksheet):	\$
<b>Total assets:</b>	\$	<b>Total liabilities:</b>	\$
(minus total liabilities)	(-\$ )		
<b>Owner net worth:</b>	\$	<b>Year:</b> _____	