

## **CONTINUED DBE ELIGIBILITY AFFIDAVIT SUPPORTING DOCUMENTS CHECKLIST**

In order to complete your Continued DBE Eligibility Affidavit, you must attach copies of all the following documents as they apply to you and your firm.

### **All Applicants**

- Personal Financial Statement/Statement of Personal Net Worth
- Signed U.S. Individual tax returns including all schedules and attachments for the past year, for each owner claiming disadvantaged status
- Signed Federal Corporate tax returns including all schedules and attachments for the past year
- Documented proof of any transfers of assets to/from your firm and/or to/from any of its owners over the past two years
- Signed loan agreements, security agreements and bonding forms since your last affidavit
- Descriptions of new real estate (including office/storage space, etc.) owned/leased by your firm and documented proof of ownership/signed leases since your last affidavit
- List of any new equipment leased and signed lease agreements since your last affidavit
- List of any new construction equipment and/or vehicles owned and titles/proof of ownership
- Year-end balance sheet and income statements for the past year
- All current relevant licenses, license renewal forms, permits and haul authority forms
- DBE, MBE, WBE, SBA 8(a), SDB certifications, denials, and/or removals of eligibility, since your last affidavit
- Current bank authorization and signatory cards, if changed since last submission
- Schedule of salaries (or other compensation or remuneration) paid to all owners, officers, managers, members, partners and/or directors of the firm (include W-2 forms for the past year)
- New trust agreements held by any owner claiming disadvantaged status, if any
- Current signed leases, mortgage receipts, tax or water bills for all real estate (including office, storage space, etc.) leased or owned by your firm
- Current home state certification letter, if your firm is not an Illinois firm

### **New Owners**

- All new owners submit proof of citizenship/legal permanent resident status if born outside U.S.A. (Alien registration number or Green Card) U.S. Citizens should submit a Birth Certificate, Voter's Registration card, Passport or Armed Service Discharge papers (DD214)
- Work experience resumes (include places of ownership/employment with corresponding dates) for all new owners, directors, officers, partners
- Documented proof of contributions used to acquire ownership for each new owner (both sides of cancelled checks, loan agreements, bank statements, etc.)

### **Partnership**

- All minutes of the partnership meetings and amended agreements since last affidavit

### **Corporation or LLC**

- All minutes of the shareholders' meetings and board of directors' meetings
- Submit any newly cancelled or issued stock certificates and stock transfer ledger (both sides)
- Any amendments to the bylaws or operating agreement since submission of your last affidavit

### **Trucking Company**

- Title(s) and registration certificate(s) for each truck owned or operated by your firm
- List of U.S. DOT numbers for each truck owned or operated by your firm
- Current insurance agreements for each truck owned or operated by your firm
- Illinois Commerce Commission authority

### **Regular Dealer**

- Proof of any new warehouse, signed lease, mortgage receipt, tax or water bill for warehouse
- List of current product lines/inventory with dollar values
- List of distribution equipment owned and/or leased



4. Describe all real estate agreements of facilities used by firm. Indicate if facilities are owned or leased by the firm, including rental amount and whether the agreements are written or verbal.

Owner	Check If Owned	Rental Amount	Location

• **SUBMIT COPIES OF ALL LEASES. IF OWNED, PROVIDE PROOF OF OWNERSHIP.**

A. Do you share any facilities?  Yes  No

B. If yes, indicate which facilities are shared \_\_\_\_\_

C. With whom do you share facilities? (Firm name/individual) \_\_\_\_\_

D. What are the shared firm's business activities? \_\_\_\_\_

5. List current licenses/permits held by any owner and/or employee of your firm (e.g., contractor, engineer, architect, etc.) Attach additional sheets if needed.

Name of License/Permit Holder	Type of License/Permit	Expiration Date	License Number and State

• **SUBMIT COPIES OF REGISTRATION, LICENSE OR CERTIFICATES.**

6. Since your last date of certification has your firm:

A. Received certification by other agencies?  Yes  No *IF YES, INCLUDE COPY OF LETTER*

B. Received certification denials/decertification?  Yes  No *IF YES, INCLUDE COPY OF LETTER*

• **OUT OF STATE FIRMS MUST SUBMIT CURRENT CERTIFICATION.**

7. Amount of annual gross receipts, for the past three years: (including all affiliates and subsidiaries)

\_\_\_\_\_  
Year Ending  
\$ \_\_\_\_\_  
Amount

\_\_\_\_\_  
Year Ending  
\$ \_\_\_\_\_  
Amount

\_\_\_\_\_  
Year Ending  
\$ \_\_\_\_\_  
Amount

A. All firms must submit financial documentation for the past year that includes copies of year-end balance sheet and profit/loss (income) statement and complete signed federal tax return forms.

B. All firms must submit for the past year complete signed copy of U.S. Individual Tax Return, including all schedules, for socially disadvantaged owner(s) whose combined interest totals 51% or more ownership and voting stock in disadvantaged business enterprise.

8. Current number of employees of the firm (including all affiliates and subsidiaries)  
 Full-time \_\_\_\_\_ Part-time \_\_\_\_\_

9. Since your last certification, have any of the following changed? If yes for any of the following, submit support documentation and/or copy of resolutions detailing all changes, identifying individuals by ethnicity and gender.

- A. Owners/Partners:  Yes  No
- B. Officers:  Yes  No
- C. Directors:  Yes  No
- D. Control/Management:  Yes  No

- **SUBMIT PROOF OF CITIZENSHIP/LEGAL, PERMANENT RESIDENT.**
- **SUBMIT DETAILED RESUMES OF OWNERS, DIRECTORS, OFFICERS, AND PARTNERS.**
- **SUBMIT PROOF OF CONTRIBUTION TO ACQUIRE OWNERSHIP INTEREST IN THE FIRM.**

10. Identify all owners, partners, and stockholders by name, gender, ethnic group and percentage of ownership. For ethnic group, use codes: (B) Black, (H) Hispanic American, (N) Native American, (AP) Asian-Pacific, (AI) Subcontinent Asian, OTHER (Specify).

Name	US Citizen Yes/No	Legal Permanent Resident Yes/No	Gender	Ethnic Group	Date of Ownership	% Owned	Voting %

11. Complete the following information regarding your firm's Officers and Board of Directors. For ethnic group, use codes: (B) Black, (H) Hispanic American, (N) Native American, (AP) Asian-Pacific, (AI) Subcontinent Asian, OTHER (Specify).

Title	Name	Gender	Ethnic Group	% of time Devoted to Business	Date Appointed
Chairman					
President					
Vice President					
Secretary					
Treasurer					
Other					
Director					
Director					
Director					

12. Identify your firm's management personnel who control the firm in the following areas. (If more than two people, attach a separate sheet.) If additional space is required, submit an attached sheet.

	Name	Title	Ethnicity	Gender
(1) Financial decisions <i>(Responsibility for acquisition of lines of credit, surety bonding, supplies, etc.)</i>	a.			
	b.			
(2) Estimating and bidding	a.			
	b.			
(3) Negotiating and contract execution	a.			
	b.			
(4) Hiring/firing of management personnel	a.			
	b.			
(5) Field/Production Operations Supervisor	a.			
	b.			
(6) Office management	a.			
	b.			
(7) Marketing/Sales	a.			
	b.			
(8) Purchasing of major equipment	a.			
	b.			
(9) Authorized to Sign Company Checks (for any purpose)	a.			
	b.			
(10) Authorized to make Financial Transactions	a.			
	b.			

13. Identify any owner or management official of the applicant firm who has an ownership interest in any other firm. Provide information as to the owner's title, address of firm, percent of ownership and product or service of the other firm.

Owner/Manager	Name and Address of other Firm	Title in Other Firm	Ownership %	Product or Service of Firm

- *SUBMIT COPY AFFILIATE TAX RETURNS*
- *SUBMIT STOCK TRANSFERS*

14. Identify any loans made to your firm since your last certification, indicating loan source and amount.

Loan Source	Purpose of Loan	Name of Person Securing the Loan	Loan Amount
			\$
			\$
			\$

- *SUBMIT A SIGNED COPY OF EACH OF THESE LOANS*

15. List the three (3) largest contracts issued/completed, materials supplied or services performed by your firm in the last year.

Name of Owner/Contractor	Name/Location of Project	Type of Work Performed	Dollar Value of Contract

- *SUBMIT COPIES OF CONTRACTS/PURCHASE ORDERS/INVOICES FOR PROJECTS IDENTIFIED*

