

**NYS Division of Minority & Women Business Development
List of Items Required for MWBE Certification**

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A. REQUIRED FOR ALL APPLICANTS.

PLEASE NOTE: If appropriate documents are not submitted and no written explanation is given, application will not be processed.

1. Resumes of all principals, partners, officers and/or key employees of the firm as per Questions 4(a), 5(d), 12, 13(a) and 13(b). Show home address and telephone number, all education, training, and employment history with dates.
2. Bank signature card or letter from the bank identifying persons authorized to conduct transactions, level of authority and limitations, if any, on **all** business accounts.
3. Current year business Financial Statements: including Year-To-Date Balance Sheet and Profit & Loss Statement. **Taxes cannot be used for this requirement.**
4. Most recent three (3) years of Federal, and State tax returns for the business including all statements, schedules, and amendments. Please be sure the copies submitted are true and correct copies of the original business tax returns as submitted to the IRS and any other applicable entities.
5. Each minority or woman upon which certification is based must submit their most recent two (2) years of Federal and State personal tax returns; including all schedules, statements and amendments. Please include all W2s, 1099s, Schedule K-1s and all applicable attachments, etc. Please be sure the copies submitted are true and correct copies of the original personal tax returns as submitted to the IRS and any other applicable entities.
6. Each minority or woman upon which certification is based must submit **Attachment A: Personal Net worth Affidavit** in the form provided, signed, dated and notarized. If an individual upon which certification is based has a net worth exceeding \$1.3 million, they must include the **Attachment B: Personal Net Worth Worksheet**, signed, dated with their Social Security number included.
7. Documented proof of sources of capitalization and investments as per Questions 6, 7a, 7b in the application (Cancelled Checks-sides, bank statements, purchase receipts, any loan agreements, etc.)
8. If the firm is applying for MBE or MWBE Certification, for each Minority who has an ownership interest in the applicant firm, you will need to provide proof of ethnicity (i.e. Birth Certificate - yours or parent, or grandparent; Death Certificate – parent or grandparent; Tribal Card/Records; Military Records; Naturalization Papers – yours, parent or grandparent; official court rule specifically recognizing applicant’s minority decent – yours, parent, or grandparent; any documentation issued by a Federal, State, or Local Government entity establishing that the applicant, the applicant’s parent or grandparent is a member of a minority group as recognized under Article 15-A).
9. Proof of US Citizenship (i.e. Birth Certificate, U.S. Passport, Naturalization Certificate, etc.) or Proof of permanent resident alien status (i.e. permanent resident “green” card.) for each Minority or Woman who has an ownership interest in the applicant firm.

10. Signed lease Agreements or proof of ownership per 13(c) and 14(a).
11. All signed third party agreements including: equipment rentals, purchase agreements, management, service agreements, etc., as per Question 14(b).
12. Any employment agreements.
13. Vehicle registration(s) for all vehicles used for business purposes and/or charged to the Business.
14. Any certification, decertification or denial of certification documentation. Out-of-State firms should attach copy of their home state certification, if similar process exists.
15. Copies of all licenses, permits and/or accreditations utilized by this firm to conduct business, including those held by individual.
16. For all sole proprietorships and partnerships, a copy of the New York State Vendor Tax Registration.
17. Written request for exemption from disclosure regarding trade secrets, if applicable.

Please Note: New York State Division of Minority and Women Business Development is subject to the Freedom of Information Law, which governs the process for the public disclosure of certain records maintained by the program. ***The request for exception must be in writing and state why the information should be excepted, specifying the items or portions for which the exemption is requested.*** Please refer to the second item on the signed declaration page of this application for further details about submitting an exemption request.

B. REQUIRED FOR ALL SOLE PROPRIETORS

PLEASE NOTE: If appropriate documents are not submitted and no written explanation is given, application will not be processed.

1. Copy of Certificate of Trade Name or Business Trade Name filed with County Clerk, including amended certificates (*If doing business under an assumed name.*)
2. If out-of-state business, provide a New York State Vendor Tax Number which can be obtained by contacting the New York State Department of Taxation and Finance at (800) 972-1233

C. REQUIRED FOR ALL PARTNERSHIPS

PLEASE NOTE: If appropriate documents are not submitted and no written explanation is given, application will not be processed.

Indicate submitted documents with a check mark:

1. Business Certificate, including any amendments
2. Partnership Agreement
3. Buy-out Rights

D. REQUIRED FOR ALL CORPORATIONS

PLEASE NOTE: If appropriate documents are not submitted and no written explanation is given, application will not be processed.

1. State filing receipt, including amended receipts
2. Articles of incorporation
3. Corporation By-Laws
4. Minutes of first corporate organizational meeting and amendments.
5. Copies of all issued stock certificates; front and back, as well as, next unissued certificate.
6. Copy of completed, up-to-date stock ledger.
7. If out-of-state corporation, Certificate of Authority to conduct business in New York State, and any amendments.
8. **If applicable**, furnish copies of agreements relating to:
 - a. stock options
 - b. shareholders agreements
 - c. shareholder voting rights
 - d. restriction on the disposal of stock loan agreements
 - e. facts pertaining to the value of shares
 - f. buy-out rights
 - g. restrictions on the control of the corporation
9. List of current Board of Directors: including group code, sex and effective dates by:
10. *Name, Position, Group Code, Gender and Date*

E. REQUIRED FOR ALL LLC/LLPs

PLEASE NOTE: If appropriate documents are not submitted and no written explanation is given, application will not be processed.

Indicate submitted documents with a check mark:

1. Certificate of Registration or Articles of Organization
2. Operating Agreement and any amendments if LLC or Partnership Agreement and any amendments if LLP
3. Certificate of Publication, with the Affidavits of Publication