

CERTIFICATION APPLICATION



State of Indiana
Department of Administration
Minority and Women's Business Enterprises Division
Indiana Government Center South
402 W. Washington Street, Fm. W469
Indianapolis, IN 46204-2744
www.in.gov/idoa/minority
(317) 232-3061



City of Indianapolis
Department of Minority & Women Business Development
City-County Building
200 E. Washington Street, Suite 1260
Indianapolis, IN 46204
<http://www.indy.gov/DMWBD>
(317) 327-5262

Revised July 2009

CITY OF INDIANAPOLIS
DEPARTMENT OF MINORITY AND WOMEN BUSINESS DEVELOPMENT

CERTIFICATION CHECKLIST
FOR
RENEWAL APPLICANTS

Company Name: _____

Type of Certification Sought: MBE _____ WBE _____

Legal Structure: Sole Proprietor _____ Partnership _____ Corporation _____

Home State: Indiana _____ Other _____ Include Home State Certification _____

For All Applicants:

List of Active Contracts: _____	Required
Notarized Signature: _____	Required
Past 3 Years Income Statements/Balance Sheet: _____	Required
Work Experience Resume of Owner(s): _____	Required (if changes)
Signed Loan Agreements: _____	Required (if changes)
Description of Real Estate & Title: _____	Affirmation & Any Changes
Description of Equipment _____	Affirmation & Any Changes
Equipment Leases: _____	Affirmation & Any Changes
Office Lease: _____	Affirmation & Any Changes
Relevant Licenses: _____	Affirmation & Any Changes
Vehicle Titles: _____	Affirmation & Any Changes
Bank Signature Cards: _____	Affirmation & Any Changes
Schedule of Salaries to Officers etc: _____	Affirmation & Past 3 Years

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For Sole Proprietorships:

Past 3 Years Personal Federal Tax Return _____ Required

For Partnerships:

Past 3 Years Personal Federal Tax Return: _____ Required

Past 3 Years Partnership Federal Tax Return: _____ Required

Past 3 Years Income Statements/Balance Sheet: _____ Required

Partnership Agreement _____ Affirmation & Any Changes

For Corporations:

Past 3 Years Personal Federal Tax Return: _____ Required

Past 3 Years Corporate Federal Tax Return: _____ Required

Past 3 Years Income Statements/Balance Sheet: _____ Required

Articles of Incorporation (State Seal): _____ Affirmation & Any Changes

Corporate bylaws & amendments: _____ Affirmation & Any Changes

Minutes of shareholder and Board of Director meetings: _____ Affirmation & Any Changes

Stock Certificates (both sides): _____ Affirmation & Any Changes

Shares Ledger: _____ Affirmation & Any Changes

Corporate bank resolution/signature cards: _____ Affirmation & Any Changes

AFFIRMATION

I affirm, under the penalties of perjury, that all documents previously submitted to the City of Indianapolis, Department of Minority and Women Business Development (DMWBD) in support of previous applications for certification as a minority or woman business enterprise (MBE/WBE) are true and accurate to the best of my knowledge and belief.

Further, I realize that DMWBD is relying on the accuracy of this information in making decisions regarding my certification, and that in the event that documents or other information previously supplied to DMWBD are found to be false, inaccurate or untrue, it shall be grounds for removal from the program pursuant to 49 CFR, part 26 or the City of Indianapolis, Minority and Women Business Utilization Plan and subject to other penalties under federal and state law.

Signature

Printed Name

Date

CITY OF INDIANAPOLIS
DIVISION OF EQUAL OPPORTUNITY

CERTIFICATION INSTRUCTIONS

The City of Indianapolis (City), Division of Equal Opportunity (DEO), issues both City and Federal certifications. In general, a certification attests that there is an actual, or potential, business in operation and that the business is owned and controlled, at least 51%, by listed minority or female owner (s). The City certifications are issued as Minority Business Enterprise, MBE, or Woman Business Enterprise, WBE. Federal certifications are issued as Disadvantaged/Minority Business Enterprise, D/MBE, or Disadvantaged/Woman Business Enterprise, D/WBE. The difference between the two types of certification is that a City certification tests only the social disadvantage which arises from minority or female ownership of a business. A Federal certification tests both social and economic disadvantage.

City certifications are all that is necessary for City projects. The federal certifications are issued for Indianapolis Airport Authority (BAA) and Indianapolis Public Transportation Corporation (METRO) projects which receive direct federal funding. City certifications are regulated by the City Minority & Women Business Utilization Plan. Federal certifications are regulated by Chapter 49, Code of Federal Regulations, part 26.

The application must be complete. All questions must be answered or marked “N/A” if they do not apply to the applicant firm. It must be signed by the minority or female owner and be notarized. All pertinent additional documentation from the “Document Request” section of the application must be submitted. Firms applying for MBE or WBE certification need not submit personal income taxes but must submit business tax returns. W-2, W-3, 1099, and 1096 forms from the applicant business to its owners must be submitted for any type of certification. Applicants for D/MBE or D/WBE certification must submit personal and business tax returns as well as complete and submit the D/MBE and D/WBE Certification Addendum.

Once received, certification applications are reviewed for completeness. If the application is incomplete, DEO will write the applicant with notice of what items are missing and a date by which those items must be received. In some cases, DEO may return the entire application packet for correction. If the application is complete, it is logged in for an on site review or, in the case of an out of state applicant, the home state certifying agency is contacted, in writing with a copy to the applicant, for a copy of the home state on site review.

On site review is required by the City DEO for any type of certification. The City DEO will conduct, or cause to be conducted, an on site review of certification applicants located in the following Indiana Counties:

1. Marion
2. Hamilton
3. Boone
4. Madison
5. Hancock
6. Hendricks
7. Shelby
8. Morgan
9. Johnson

Indiana based applicants located in counties other than those listed above should submit their application to:

Indiana Department of Administration
Minority Business Development Division
402 W. Washington Street, Room W474
Indianapolis, IN 46204

Those applicants can request that IDOA copy the completed file and forward it to this office per the reciprocity agreement. The City DEO may do an on site review in Indiana Counties other than those listed above if the applicant has a contract or subcontract with the City, BAA, or METRO.

Applicants located outside the State of Indiana must provide proof of home state certification and on site review. Once a home state certification is received here, DEO will write the home state certifying agency for a copy of their on site review. Once received, that home state on site review must meet or exceed the standards of the City DEO. The City DEO will not issue any type of certification absent an acceptable on site review! Normally, on site reviews conducted by the City DEO will take place within sixty (60) days of receipt of a complete application.

Certification Reciprocity exists between the City of Indianapolis, (DEO), Indiana Department of Administration (IDOA), and Indiana Regional Minority Supplier Development Council (IRMSDC). Reciprocity is not automatic and must be requested by the applicant. Each agency retains the right to reject a certification issued by the other agency. IRMSDC does not certify woman owned businesses and charges a fee for its services.

Certification Standards are printed on the following pages. These standards are the ones for D/MBE and D/WBE (federal) certification (49 CFR, part 26). The standards for MBE and WBE (City) certification are essentially the same except the federal economic and business size standards are not included in the City standards.

Subpart D—Certification Standards

§ 26.61 How are burdens of proof allocated in the certification process?

(a) In determining whether to certify a firm as eligible to participate as a DBE, you must apply the standards of this subpart.

(b) The firm seeking certification has the burden of demonstrating to you, by a preponderance of the evidence, that it meets the requirements of this subpart concerning group membership or individual disadvantage, business size, ownership, and control.

(c) You must rebuttably presume that members of the designated groups identified in § 26.67(a) are socially and economically disadvantaged. This means that they do not have the burden of proving to you that they are socially and economically disadvantaged. However, applicants have the obligation to provide you information concerning their economic disadvantage (see § 26.67).

(d) Individuals who are not presumed to be socially and economically disadvantaged, and individuals concerning whom the presumption of disadvantage has been rebutted, have the burden of proving to you, by a preponderance of the evidence, that they are socially and economically disadvantaged. (See Appendix E of this part.)

(e) You must make determinations concerning whether individuals and firms have met their burden of demonstrating group membership, ownership, control, and social and economic disadvantage (where disadvantage must be demonstrated on an individual basis) by considering all the facts in the record, viewed as a whole.

§ 26.63 What rules govern group membership determinations?

(a) If you have reason to question whether an individual is a member of a group that is presumed to be socially and economically disadvantaged, you must require the individual to demonstrate, by a preponderance of the evidence, that he or she is a member of the group.

(b) In making such a determination, you must consider whether the person has held himself out to be a member of the group over a long period of time prior to application for certification and whether the person is regarded as a member of the group by the relevant community. You may require the applicant to produce appropriate documentation of group membership.

(1) If you determine that an individual claiming to be a member of a group presumed to be disadvantaged is not a member of a designated disadvantaged group, the individual must demonstrate social and economic disadvantage on an individual basis.

(2) Your decisions concerning membership in a designated group are subject to the certification appeals procedure of § 26.89.

§ 26.65 What rules govern business size determinations?

(a) To be an eligible DBE, a firm (including its affiliates) must be an existing small business, as defined by Small Business Administration (SBA) standards. You must apply current SBA business size standard(s) found in 13 CFR part 121 appropriate to the type(s) of work the firm seeks to perform in DOT-assisted contracts.

(b) Even if it meets the requirements of paragraph (a) of this section, a firm is not an eligible DBE in any Federal fiscal year if the firm (including its affiliates) has had average annual gross receipts, as defined by SBA regulations (see 13 CFR 121.402), over the firm's previous three fiscal years, in excess of \$16.6 million. The Secretary adjusts this amount for inflation from time to time.

§ 26.67 What rules determine social and economic disadvantage?

(a) *Presumption of disadvantage.* (1) You must rebuttably presume that citizens of the United States (or lawfully admitted permanent residents) who are women, Black Americans, Hispanic Americans, Native Americans, Asian-Pacific Americans, Subcontinent Asian Americans, or other minorities found to be disadvantaged by the SBA, are socially and economically disadvantaged individuals. You must require applicants to submit a signed, notarized certification that each presumptively disadvantaged owner is, in fact, socially and economically disadvantaged.

(2)(i) You must require each individual owner of a firm applying to participate as a DBE whose ownership and control are relied upon for DBE certification to submit a signed, notarized statement of personal net worth, with appropriate supporting documentation.

(ii) In determining net worth, you must exclude an individual's ownership interest in the applicant firm and the individual's equity in his or her primary residence (except any portion of such equity that is attributable to excessive withdrawals from the applicant firm). A contingent liability does not reduce an individual's net worth. The personal net worth of an individual claiming to be an Alaska Native will include assets and income from sources other than an Alaska Native Corporation and exclude any of the following which the individual receives from any Alaska Native Corporation: cash (including cash dividends on stock received from an ANC) to the extent that it does not, in the aggregate, exceed \$2,000 per individual per annum; stock (including stock issued or distributed by an ANC as a dividend or distribution on stock); a partnership interest; land or an interest in land (including land or an interest in land received from an ANC as a dividend or distribution on stock); and an interest in a settlement trust.

(b) *Rebuttal of presumption of disadvantage.* (1) If the statement of personal net worth that an individual submits under paragraph (a)(2) of this section shows that the individual's personal net worth exceeds \$750,000, the individual's presumption of economic disadvantage is rebutted. You are not required to have a proceeding under paragraph (b)(2) of this section in order to rebut the presumption of economic disadvantage in this case.

(2) If you have a reasonable basis to believe that an individual who is a member of one of the designated groups is not, in fact, socially and/or economically disadvantaged you may, at any time, start a proceeding to determine whether the presumption should be regarded as rebutted with respect to that individual. Your proceeding must follow the procedures of § 26.87.

(3) In such a proceeding, you have the burden of demonstrating, by a preponderance of the evidence, that the individual is not socially and economically disadvantaged. You may require the individual to produce information relevant to the determination of his or her disadvantage.

(4) When an individual's presumption of social and/or economic disadvantage has been rebutted, his or her ownership and control of the firm in question cannot be used for purposes of DBE eligibility under this subpart unless and until he or she makes an individual showing of social and/or economic disadvantage. If the basis for rebutting the presumption is a determination that the individual's personal net worth exceeds \$750,000, the individual is no longer eligible for participation in the program and cannot regain eligibility by making an individual showing of disadvantage.

(c) *8(a) and SDB Firms.* If a firm applying for certification has a current, valid certification from or recognized by the SBA under the 8(a) or small and disadvantaged business (SDB) program (except an SDB certification based on the firm's self-certification as an SDB), you may accept the firm's 8(a) or SDB certification in lieu of conducting your own certification proceeding, just as you may accept the certification of another DOT recipient for this purpose. You are not required to do so, however.

(d) *Individual determinations of social and economic disadvantage.* Firms owned and controlled by individuals who are not presumed to be socially and economically disadvantaged (including individuals whose presumed disadvantage has been rebutted) may apply for DBE

certification. You must make a case-by-case determination of whether each individual whose ownership and control are relied upon for DBE certification is socially and economically disadvantaged. In such a proceeding, the applicant firm has the burden of demonstrating to you, by a preponderance of the evidence, that the individuals who own and control it are socially and economically disadvantaged. An individual whose personal net worth exceeds \$750,000 shall not be deemed to be economically disadvantaged. In making these determinations, use the guidance found in Appendix E of this part. You must require that applicants provide sufficient information to permit determinations under the guidance of Appendix E of this part.

§ 26.69 What rules govern determinations of ownership?

(a) In determining whether the socially and economically disadvantaged participants in a firm own the firm, you must consider all the facts in the record, viewed as a whole.

(b) To be an eligible DBE, a firm must be at least 51 percent owned by socially and economically disadvantaged individuals.

(1) In the case of a corporation, such individuals must own at least 51 percent of the each class of voting stock outstanding and 51 percent of the aggregate of all stock outstanding.

(2) In the case of a partnership, 51 percent of each class of partnership interest must be owned by socially and economically disadvantaged individuals. Such ownership must be reflected in the firm's partnership agreement.

(3) In the case of a limited liability company, at least 51 percent of each class of member interest must be owned by socially and economically disadvantaged individuals.

(c) The firm's ownership by socially and economically disadvantaged individuals must be real, substantial, and continuing, going beyond pro forma ownership of the firm as reflected in ownership documents. The disadvantaged owners must enjoy the customary incidents of ownership, and share in the risks and profits commensurate with their ownership interests, as demonstrated by the substance, not merely the form, of arrangements.

(d) All securities that constitute ownership of a firm shall be held directly by disadvantaged persons. Except as provided in this paragraph (d), no securities or assets held in trust, or by any guardian for a minor, are

considered as held by disadvantaged persons in determining the ownership of a firm. However, securities or assets held in trust are regarded as held by a disadvantaged individual for purposes of determining ownership of the firm, if—

(1) The beneficial owner of securities or assets held in trust is a disadvantaged individual, and the trustee is the same or another such individual; or

(2) The beneficial owner of a trust is a disadvantaged individual who, rather than the trustee, exercises effective control over the management, policy-making, and daily operational activities of the firm. Assets held in a revocable living trust may be counted only in the situation where the same disadvantaged individual is the sole grantor, beneficiary, and trustee.

(e) The contributions of capital or expertise by the socially and economically disadvantaged owners to acquire their ownership interests must be real and substantial. Examples of insufficient contributions include a promise to contribute capital, an unsecured note payable to the firm or an owner who is not a disadvantaged individual, or mere participation in a firm's activities as an employee. Debt instruments from financial institutions or other organizations that lend funds in the normal course of their business do not render a firm ineligible, even if the debtor's ownership interest is security for the loan.

(f) The following requirements apply to situations in which expertise is relied upon as part of a disadvantaged owner's contribution to acquire ownership:

(1) The owner's expertise must be—

(i) In a specialized field;

(ii) Of outstanding quality;

(iii) In areas critical to the firm's operations;

(iv) Indispensable to the firm's potential success;

(v) Specific to the type of work the firm performs; and

(vi) Documented in the records of the firm. These records must clearly show the contribution of expertise and its value to the firm.

(2) The individual whose expertise is relied upon must have a significant financial investment in the firm.

(g) You must always deem as held by a socially and economically disadvantaged individual, for purposes of determining ownership, all interests in a business or other assets obtained by the individual—

(1) As the result of a final property settlement or court order in a divorce or legal separation, provided that no term or condition of the agreement or divorce

decree is inconsistent with this section, or

(2) Through inheritance, or otherwise because of the death of the former owner.

(h)(1) You must presume as not being held by a socially and economically disadvantaged individual, for purposes of determining ownership, all interests in a business or other assets obtained by the individual as the result of a gift, or transfer without adequate consideration, from any non-disadvantaged individual or non-DBE firm who is—

(i) Involved in the same firm for which the individual is seeking certification, or an affiliate of that firm;

(ii) Involved in the same or a similar line of business; or

(iii) Engaged in an ongoing business relationship with the firm, or an affiliate of the firm, for which the individual is seeking certification.

(2) To overcome this presumption and permit the interests or assets to be counted, the disadvantaged individual must demonstrate to you, by clear and convincing evidence, that—

(i) The gift or transfer to the disadvantaged individual was made for reasons other than obtaining certification as a DBE; and

(ii) The disadvantaged individual actually controls the management, policy, and operations of the firm, notwithstanding the continuing participation of a non-disadvantaged individual who provided the gift or transfer.

(i) You must apply the following rules in situations in which marital assets form a basis for ownership of a firm:

(1) When marital assets (other than the assets of the business in question), held jointly or as community property by both spouses, are used to acquire the ownership interest asserted by one spouse, you must deem the ownership interest in the firm to have been acquired by that spouse with his or her own individual resources, provided that the other spouse irrevocably renounces and transfers all rights in the ownership interest in the manner sanctioned by the laws of the state in which either spouse or the firm is domiciled. You do not count a greater portion of joint or community property assets toward ownership than state law would recognize as belonging to the socially and economically disadvantaged owner of the applicant firm.

(2) A copy of the document legally transferring and renouncing the other spouse's rights in the jointly owned or community assets used to acquire an ownership interest in the firm must be included as part of the firm's application for DBE certification.

(j) You may consider the following factors in determining the ownership of a firm. However, you must not regard a contribution of capital as failing to be real and substantial, or find a firm ineligible, solely because—

(1) A socially and economically disadvantaged individual acquired his or her ownership interest as the result of a gift, or transfer without adequate consideration, other than the types set forth in paragraph (h) of this section;

(2) There is a provision for the co-signature of a spouse who is not a socially and economically disadvantaged individual on financing agreements, contracts for the purchase or sale of real or personal property, bank signature cards, or other documents; or

(3) Ownership of the firm in question or its assets is transferred for adequate consideration from a spouse who is not a socially and economically disadvantaged individual to a spouse who is such an individual. In this case, you must give particularly close and careful scrutiny to the ownership and control of a firm to ensure that it is owned and controlled, in substance as well as in form, by a socially and economically disadvantaged individual.

§ 26.71 What rules govern determinations concerning control?

(a) In determining whether socially and economically disadvantaged owners control a firm, you must consider all the facts in the record, viewed as a whole.

(b) Only an independent business may be certified as a DBE. An independent business is one the viability of which does not depend on its relationship with another firm or firms.

(1) In determining whether a potential DBE is an independent business, you must scrutinize relationships with non-DBE firms, in such areas as personnel, facilities, equipment, financial and/or bonding support, and other resources.

(2) You must consider whether present or recent employer/employee relationships between the disadvantaged owner(s) of the potential DBE and non-DBE firms or persons associated with non-DBE firms compromise the independence of the potential DBE firm.

(3) You must examine the firm's relationships with prime contractors to determine whether a pattern of exclusive or primary dealings with a prime contractor compromises the independence of the potential DBE firm.

(4) In considering factors related to the independence of a potential DBE firm, you must consider the consistency of relationships between the potential

DBE and non-DBE firms with normal industry practice.

(c) A DBE firm must not be subject to any formal or informal restrictions which limit the customary discretion of the socially and economically disadvantaged owners. There can be no restrictions through corporate charter provisions, by-law provisions, contracts or any other formal or informal devices (e.g., cumulative voting rights, voting powers attached to different classes of stock, employment contracts, requirements for concurrence by non-disadvantaged partners, conditions precedent or subsequent, executory agreements, voting trusts, restrictions on or assignments of voting rights) that prevent the socially and economically disadvantaged owners, without the cooperation or vote of any non-disadvantaged individual, from making any business decision of the firm. This paragraph does not preclude a spousal co-signature on documents as provided for in § 26.69(j)(2).

(d) The socially and economically disadvantaged owners must possess the power to direct or cause the direction of the management and policies of the firm and to make day-to-day as well as long-term decisions on matters of management, policy and operations.

(1) A disadvantaged owner must hold the highest officer position in the company (e.g., chief executive officer or president).

(2) In a corporation, disadvantaged owners must control the board of directors.

(3) In a partnership, one or more disadvantaged owners must serve as general partners, with control over all partnership decisions.

(e) Individuals who are not socially and economically disadvantaged may be involved in a DBE firm as owners, managers, employees, stockholders, officers, and/or directors. Such individuals must not, however, possess or exercise the power to control the firm, or be disproportionately responsible for the operation of the firm.

(f) The socially and economically disadvantaged owners of the firm may delegate various areas of the management, policymaking, or daily operations of the firm to other participants in the firm, regardless of whether these participants are socially and economically disadvantaged individuals. Such delegations of authority must be revocable, and the socially and economically disadvantaged owners must retain the power to hire and fire any person to whom such authority is delegated. The managerial role of the socially and economically disadvantaged owners in

the firm's overall affairs must be such that the recipient can reasonably conclude that the socially and economically disadvantaged owners actually exercise control over the firm's operations, management, and policy.

(g) The socially and economically disadvantaged owners must have an overall understanding of, and managerial and technical competence and experience directly related to, the type of business in which the firm is engaged and the firm's operations. The socially and economically disadvantaged owners are not required to have experience or expertise in every critical area of the firm's operations, or to have greater experience or expertise in a given field than managers or key employees. The socially and economically disadvantaged owners must have the ability to intelligently and critically evaluate information presented by other participants in the firm's activities and to use this information to make independent decisions concerning the firm's daily operations, management, and policymaking. Generally, expertise limited to office management, administration, or bookkeeping functions unrelated to the principal business activities of the firm is insufficient to demonstrate control.

(h) If state or local law requires the persons to have a particular license or other credential in order to own and/or control a certain type of firm, then the socially and economically disadvantaged persons who own and control a potential DBE firm of that type must possess the required license or credential. If state or local law does not require such a person to have such a license or credential to own and/or control a firm, you must not deny certification solely on the ground that the person lacks the license or credential. However, you may take into account the absence of the license or credential as one factor in determining whether the socially and economically disadvantaged owners actually control the firm.

(i)(1) You may consider differences in remuneration between the socially and economically disadvantaged owners and other participants in the firm in determining whether to certify a firm as a DBE. Such consideration shall be in the context of the duties of the persons involved, normal industry practices, the firm's policy and practice concerning reinvestment of income, and any other explanations for the differences proffered by the firm. You may determine that a firm is controlled by its socially and economically disadvantaged owner although that

owner's remuneration is lower than that of some other participants in the firm.

(2) In a case where a non-disadvantaged individual formerly controlled the firm, and a socially and economically disadvantaged individual now controls it, you may consider a difference between the remuneration of the former and current controller of the firm as a factor in determining who controls the firm, particularly when the non-disadvantaged individual remains involved with the firm and continues to receive greater compensation than the disadvantaged individual.

(j) In order to be viewed as controlling a firm, a socially and economically disadvantaged owner cannot engage in outside employment or other business interests that conflict with the management of the firm or prevent the individual from devoting sufficient time and attention to the affairs of the firm to control its activities. For example, absentee ownership of a business and part-time work in a full-time firm are not viewed as constituting control. However, an individual could be viewed as controlling a part-time business that operates only on evenings and/or weekends, if the individual controls it all the time it is operating.

(k)(1) A socially and economically disadvantaged individual may control a firm even though one or more of the individual's immediate family members (who themselves are not socially and economically disadvantaged individuals) participate in the firm as a manager, employee, owner, or in another capacity. Except as otherwise provided in this paragraph, you must make a judgment about the control the socially and economically disadvantaged owner exercises vis-a-vis other persons involved in the business as you do in other situations, without regard to whether or not the other persons are immediate family members.

(2) If you cannot determine that the socially and economically disadvantaged owners—as distinct from the family as a whole—control the firm, then the socially and economically disadvantaged owners have failed to carry their burden of proof concerning control, even though they may participate significantly in the firm's activities.

(l) Where a firm was formerly owned and/or controlled by a non-disadvantaged individual (whether or not an immediate family member), ownership and/or control were transferred to a socially and economically disadvantaged individual, and the non-disadvantaged individual remains involved with the firm in any capacity, the disadvantaged individual

now owning the firm must demonstrate to you, by clear and convincing evidence, that:

(1) The transfer of ownership and/or control to the disadvantaged individual was made for reasons other than obtaining certification as a DBE; and

(2) The disadvantaged individual actually controls the management, policy, and operations of the firm, notwithstanding the continuing participation of a non-disadvantaged individual who formerly owned and/or controlled the firm.

(m) In determining whether a firm is controlled by its socially and economically disadvantaged owners, you may consider whether the firm owns equipment necessary to perform its work. However, you must not determine that a firm is not controlled by socially and economically disadvantaged individuals solely because the firm leases, rather than owns, such equipment, where leasing equipment is a normal industry practice and the lease does not involve a relationship with a prime contractor or other party that compromises the independence of the firm.

(n) You must grant certification to a firm only for specific types of work in which the socially and economically disadvantaged owners have the ability to control the firm. To become certified in an additional type of work, the firm need demonstrate to you only that its socially and economically disadvantaged owners are able to control the firm with respect to that type of work. You may not, in this situation, require that the firm be recertified or submit a new application for certification, but you must verify the disadvantaged owner's control of the firm in the additional type of work.

(o) A business operating under a franchise or license agreement may be certified if it meets the standards in this subpart and the franchiser or licensor is not affiliated with the franchisee or licensee. In determining whether affiliation exists, you should generally not consider the restraints relating to standardized quality, advertising, accounting format, and other provisions imposed on the franchisee or licensee by the franchise agreement or license, provided that the franchisee or licensee has the right to profit from its efforts and bears the risk of loss commensurate with ownership. Alternatively, even though a franchisee or licensee may not be controlled by virtue of such provisions in the franchise agreement or license, affiliation could arise through other means, such as common management or excessive restrictions on

the sale or transfer of the franchise interest or license.

(p) In order for a partnership to be controlled by socially and economically disadvantaged individuals, any non-disadvantaged partners must not have the power, without the specific written concurrence of the socially and economically disadvantaged partner(s), to contractually bind the partnership or subject the partnership to contract or tort liability.

(q) The socially and economically disadvantaged individuals controlling a firm may use an employee leasing company. The use of such a company does not preclude the socially and economically disadvantaged individuals from controlling their firm if they continue to maintain an employer-employee relationship with the leased employees. This includes being responsible for hiring, firing, training, assigning, and otherwise controlling the on-the-job activities of the employees, as well as ultimate responsibility for wage and tax obligations related to the employees.

§ 26.73 What are other rules affecting certification?

(a)(1) Consideration of whether a firm performs a commercially useful function or is a regular dealer pertains solely to counting toward DBE goals the participation of firms that have already been certified as DBEs. Except as provided in paragraph (a)(2) of this section, you must not consider commercially useful function issues in any way in making decisions about whether to certify a firm as a DBE.

(2) You may consider, in making certification decisions, whether a firm has exhibited a pattern of conduct indicating its involvement in attempts to evade or subvert the intent or requirements of the DBE program.

(b) You must evaluate the eligibility of a firm on the basis of present circumstances. You must not refuse to certify a firm based solely on historical information indicating a lack of ownership or control of the firm by socially and economically disadvantaged individuals at some time in the past, if the firm currently meets the ownership and control standards of this part. Nor must you refuse to certify a firm solely on the basis that it is a newly formed firm.

(c) DBE firms and firms seeking DBE certification shall cooperate fully with your requests (and DOT requests) for information relevant to the certification process. Failure or refusal to provide such information is a ground for a denial or removal of certification.

(d) Only firms organized for profit may be eligible DBEs. Not-for-profit organizations, even though controlled by socially and economically disadvantaged individuals, are not eligible to be certified as DBEs.

(e) An eligible DBE firm must be owned by individuals who are socially and economically disadvantaged. Except as provided in this paragraph, a firm that is not owned by such individuals, but instead is owned by another firm—even a DBE firm—cannot be an eligible DBE.

(1) If socially and economically disadvantaged individuals own and control a firm through a parent or holding company, established for tax, capitalization or other purposes consistent with industry practice, and the parent or holding company in turn owns and controls an operating subsidiary, you may certify the subsidiary if it otherwise meets all requirements of this subpart. In this situation, the individual owners and controllers of the parent or holding company are deemed to control the subsidiary through the parent or holding company.

(2) You may certify such a subsidiary only if there is cumulatively 51 percent ownership of the subsidiary by socially and economically disadvantaged individuals. The following examples illustrate how this cumulative ownership provision works:

Example 1: Socially and economically disadvantaged individuals own 100 percent of a holding company, which has a wholly-owned subsidiary. The subsidiary may be certified, if it meets all other requirements.

Example 2: Disadvantaged individuals own 100 percent of the holding company, which owns 51 percent of a subsidiary. The subsidiary may be certified, if all other requirements are met.

Example 3: Disadvantaged individuals own 80 percent of the holding company, which in turn owns 70 percent of a subsidiary. In this case, the cumulative ownership of the subsidiary by disadvantaged individuals is 56 percent (80 percent of the 70 percent). This is more than 51 percent, so you may certify the subsidiary, if all other requirements are met.

Example 4: Same as Example 2 or 3, but someone other than the socially and economically disadvantaged owners of the parent or holding company controls the subsidiary. Even though the subsidiary is owned by disadvantaged individuals, through the holding or parent company, you cannot certify it because it fails to meet control requirements.

Example 5: Disadvantaged individuals own 60 percent of the holding company, which in turn owns 51 percent of a subsidiary. In this case, the cumulative ownership of the subsidiary by disadvantaged individuals is about 31 percent. This is less than 51 percent, so you cannot certify the subsidiary.

Example 6: The holding company, in addition to the subsidiary seeking certification, owns several other companies. The combined gross receipts of the holding companies and its subsidiaries are greater than the size standard for the subsidiary seeking certification and/or the gross receipts cap of § 26.65(b). Under the rules concerning affiliation, the subsidiary fails to meet the size standard and cannot be certified.

(f) Recognition of a business as a separate entity for tax or corporate purposes is not necessarily sufficient to demonstrate that a firm is an independent business, owned and controlled by socially and economically disadvantaged individuals.

(g) You must not require a DBE firm to be prequalified as a condition for certification unless the recipient requires all firms that participate in its contracts and subcontracts to be prequalified.

(h) A firm that is owned by an Indian tribe, Alaska Native Corporation, or Native Hawaiian organization as an entity, rather than by Indians, Alaska Natives, or Native Hawaiians as individuals, may be eligible for certification. Such a firm must meet the size standards of § 26.65. Such a firm must be controlled by socially and economically disadvantaged individuals, as provided in § 26.71.

MEMORANDUM OF UNDERSTANDING

Between the Indiana Department of Administration and the City of Indianapolis

WHEREAS the Indiana Department of Administration, Minority and Women's Business Enterprises Division is authorized to identify and certify minority and women's business enterprises and to maintain a central certification file; and

WHEREAS the City of Indianapolis is authorized to identify and certify minority and women's business enterprises for City of Indianapolis projects and to maintain a central certification file; and

WHEREAS in order to provide an efficient and reasonable procedure for the certification of minority and women's business enterprises, the parties desire to enter into an understanding concerning the reciprocity procedure by which each shall receive and utilize information submitted by applicants to either organization.

NOW THEREFORE the parties agree as follows:

1. Initial certification will require that the following information be sent as requested by any other party for their review and assessment:
 - a. Certification Applications
 - b. Birth Certificate or Ethnic Documentation
 - c. Certification / Denial Letter
 - d. Documentation of Initial Contribution
 - e. Lease Agreement [1st page and signature page(s)]
 - f. Onsite Review Report
2. Copies of onsite reviews shall be dispersed to the other parties as requested.
3. Copies of recertification applications shall be provided to the parties upon issuance.
4. Each party may request from the other parties such additional information provided by applicants and as would be otherwise available as a public document. Tax papers and financial records are not shared.

This Memorandum of Understanding between the State of Indiana and the City of Indianapolis does **not** infer that any party is required to accept the decision of any other party to this Memorandum or that any party is authorized to make decisions for any other party hereto. ***Each party retains all rights and responsibilities under their authorizing documents to make independent decisions on applications.*** This Memorandum is executed solely for the purpose of providing for reciprocity of information and application forms utilized by applicants for certification by any party.

APPLICATION FOR CERTIFICATION

INSTRUCTION BOOKLET

This booklet is designed to assist in completing the MBE/WBE Application for Certification. Please refer to the question number and the number corresponding to it in this booklet. **Questions that do not apply to your firm should be marked N/A in the space provided. All questions must be answered and the requested documents submitted to the department along with the application. Failure to do this will delay the processing of the application.** Failure to answer all questions and/or submit all documentation will result in your application being returned to you.

If you have additional information that is not requested in the application but will help prove that your firm is eligible, please attach this information to your application.

Please return the completed application to the appropriate address below:

Indiana Department of Administration
Minority and Women's Business Enterprises Division
402 W. Washington Street, Rm. W469
Indianapolis, Indiana 46204

City of Indianapolis
Division of Equal Opportunity
200 E. Washington Street, Suite 1501
Indianapolis, IN 46204

Statement and Purpose

The Indiana Department of Administration and the City of Indianapolis have developed a certification application to determine whether your firm is eligible for certification and contracting programs. To qualify as a Minority Business Enterprise (MBE) or a Women Business Enterprise (WBE), your firm must meet the eligibility standards established by the certifying agency, a copy of which is attached. You are strongly encouraged to familiarize yourself with these regulations before submitting your application. Instructions for completing this application are attached.

We urge you to take advantage of city and state contracting opportunities offered under this program by filling out the attached application. If you need assistance, or have questions regarding completion of the application, please contact the appropriate office listed in this document.

Upon receipt of the completed Application for Certification, the Department will evaluate the information submitted to determine compliance with the criteria. **It is, therefore, imperative that your application and any attached documentation provide evidence of the ownership and control of your firm.** You must also show that your firm has the resources necessary to perform the work you indicated. Only those firms which have been certified under this process can be considered for participation in both or one of the MBE and WBE programs.

To ensure a timely review of your application, you must answer all questions and submit all requested documentation. If your firm was established in the past 2 years, and portions of the application do not seem applicable, please place (N/A) on the questions that do not apply. Failure to complete portions of the application and to submit the requested documentation will delay the certification process. *The effort you make in submitting a complete application, the documentation requested and any other documentation that will help prove your firm meets the eligibility standards will decrease the amount of processing time.*

Since it is intended to prevent abuse of the program, the application is in the form of a **SWORN AFFIDAVIT**. The information requested is for certification purposes only and will be kept confidential to the extent allowed by law. Some portions of the certification application and/or documentation may be released under the Freedom of Information Act. **ANY FALSE INFORMATION SUBMITTED BY APPLICANTS WILL BE CONSIDERED AS GROUNDS FOR DENIAL/DECERTIFICATION AND FOR PROSECUTION.**

Right of Refusal

Firms located outside of Indiana must be certified by their home state prior to certification consideration. Each state shall have the right to refuse certification of a firm despite the fact that said firm may be certified. Also, the Indiana Department of Administration and the City of Indianapolis have the right to make independent decisions as they deem necessary.

Instructions For Completing Application For Certification

All companies wishing to be certified through our agency must obtain a Business Registration Number (BRN). Applications without a BRN can not be processed. To obtain your BRN visit the following website: <http://www.in.gov/idoa/opportunityIN/>. Problems and/or questions can be directed to (317) 232-6870 during normal business hours

Question 1

Name of firm (DBA, if appropriate). Also attach a copy of your assumed business name certificate.

Question 2

Main address of firm. This should be the address of the main or corporate offices. P.O. Box numbers alone are not acceptable. Additional offices should be listed on a separate attachment.

Question 3

Person or persons whom the department can contact for answers to questions about the application.

Question 4

Main business telephone number including area code, facsimile and e-mail.

Question 5 (A and B)

- A. Place an "X" in the space in front of the type of firm which is applying for certification.
- Provide copies of the original and all amended partnership agreements obtained from the appropriate governmental agency.
 - Provide copies of all stock certificates issued, including all cancelled certificates.
- B. The average number of full-time employees hired during the year.

Question 6 (A through C)

- A. Date *firm* established.
- B. Date when current owners purchased the majority ownership of the firm.
- C. Answer question as indicated.

Question 7

If space is insufficient to identify previous firm names used, attach a separate sheet which includes all business names previously used by any owner, partner or stockholder who has at least 5 percent ownership in the firm applying for certification.

Question 8 (A through E)

- A. Provide information requested.
- B. If certified as SBA 8a, attach a copy of the certification.
- C. If firm is certified by other governmental agencies, attach a copy of certification(s).
- D. If firm is certified by other governmental agencies, attach a copy of certification(s).
- E. Answer questions as indicated.

Question 9 (A through C)

The detailed work resume should include, but not be limited to:

The various jobs or positions of each owner in the past and to date, the general description of his/her duties and responsibilities and the dates of employment or ownership. Where applicable, former education should be included.

A. After completing the personal information requested on each owner, place an "X" on those lines that apply to the individual. You should attach copies of one of the following documents which will prove your membership in the ethnic group you marked "X".

- Membership letter or certificate of an ethnic organization
- Tribal certificate
- Bureau of Indian Affairs card
- Birth Certificate
- Passport
- Armed Service discharge papers or other appropriate documentation
- Baptismal Certificate
- Any other documentation that provides evidence of your ethnicity

For proof of citizenship, submit copies of a Birth Certificate, Voter's Registration Card, Armed Services Discharge Papers or other appropriate documentation that validates the response.

For proof of legal permanent resident status, submit the document which includes Registration number. This proof is required.

Attach proof of the initial investment in the firm (*dollars, real estate and equipment*), on behalf of each of the owners.

- B. This section must be filled in completely and if the officer is not an owner identified in item 9A, a work resume must be included (*see item 9A for what the resume should include*).
- C. This section must be filled in completely and if the number of directors are more than four, attach a separate sheet of paper with the other names and the requested information (*see item 9A for what the resume should include*).

Question 10 (A through I)

List individuals responsible for the management areas indicated, If more than one, please indicate. Work resumes must be included (*see item 9A for what the resume should include*). Be sure to include work resumes for your field superintendents.

Instructions For Completing Application For Certification (*continued*)

Question 11 (A & B)

- A. Provide information as requested.
- B. List those persons in your firm who are currently working for any other business which has a relationship with this firm, whether on a full-time or part-time basis as an owner, partner, shareholder, advisor, consultant or employee.

Question 12 (A through E)

- A. Provide information as requested. If more than one individual or company, please indicate. This would include any firm or person who provides any type of management or technical services who is not an employee of this firm. If additional space is needed, attach a separate sheet.
- B. Provide information requested.
- C. Provide information requested.
- D. Provide information requested on those firms which have extended your firm credit, or signed letters from them indicating their willingness to extend your firm credit.
- E. Provide information requested.

Question 13

Provide a separate listing of owned equipment and a separate listing of leased equipment. Copies of the state registration cards and titles must be provided for all cars, trucks and other vehicles that require state registration/licensing. Copies of documentation of ownership for all equipment owned must be attached. A copy of the current executed leases for automotive equipment must be attached. A copy of the current leases for office space, storage space, parking space and any other spaces must be attached.

Question 14 (A through D)

- A. Provide information as requested. Provide copy of the signed Corporate Bank Resolution(s) and/or bank account(s) signature card(s).
- B. Provide a signed statement from your bonding agent that verifies your bonding limits.
- C. Provide information as requested.
- D. Provide information as requested.

Question 15

Submit copies of required information. Be sure to identify the individual's name or firm that the license is issued to. If trucking is an area identified, an Interstate or Intrastate Authority is required. Provide a copy of the Authority.

Question 16

Provide information as requested. You must provide a copy of all denial and decertification letters received.

Question 17 (A through C)

- A. Provide gross amount earned for each of last three years.
- B. Provide information on the work that your firm has completed in the past three years or for the length of time the firm has been in business.
- C. Provide information on the projects your firm is currently working on.

Question 18

Provide names and signatures of partners who have authority to execute contracts.

Question 19 (A through D)

If you are a supplier, provide the information requested. If not, mark n/a.

Question 20 (A and B)

- A. List the products / services which you provide and are seeking certification.
- B. Provide the UNSPSC (United Nations Standard Products & Services Code) for the products / services for which you are seeking certification. You may obtain these codes by visiting <http://www.unspsc.org/>. You may browse and download the current version of the code and audit files at no cost.

Question 21

Companies applying for certification must be registered with the State of Indiana Secretary of State's office. Their telephone number is 317-232-6576.

Question 22

Indicate which region of the state you prefer to work in (*see attached map*).

Question 23

Select your type of business by marking with an "X".

Question 24 and 25

Answer as indicated.

Affidavit

The Affidavit must be signed by the President or Chief Executive Officer of the firm and the Corporate Seal affixed to it. The Affidavit must also be notarized. False statements shall make your firm subject to decertification or denial of future certification. For a not-for-profit organization, the highest ranking officer must sign the affidavit.



APPLICATION FOR CERTIFICATION

State Form 46250 (R8 / 1-05)

** Questions that do not apply to your firm should be marked N/A in the space provided. All questions must be answered and the requested documents submitted to the department along with the application. Failure to do this will delay the processing of the application.

NOTE: If after filing this application, and prior to the expiration of your certification, there is any change in the ownership and/or management of this firm, you must submit a new Application for Certification to your home state.

Indicate which one your firm is capable and willing to seek contracting opportunities with
 State of Indiana City of Indianapolis Gaming Commission (Casinos)

Bidder registration number (<i>must be provided</i>)
Check which type of program you are interested in <input type="checkbox"/> Minority Business (MBE) <input type="checkbox"/> Women Business Enterprise (WBE)

1. Authorized name of firm				
2. Street address of firm (<i>P.O.Box number alone is not acceptable</i>)				

Mailing address of firm	City	County	State	ZIP code
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3. Name of contact person	4A. Business telephone ()
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4B. Facsimile	4C. E-mail
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5A. Type of firm Sole Proprietorship Partnership Corporation Other: _____
 If firm is a partnership, copies of all partnership agreements and the assumed name certificate must be attached (*if applicable*).
 If firm is a corporation, Articles of Incorporation, copies of stock certificates (*both sides*), Shareholders' Agreement, all minutes of the shareholders' meetings and Board of Directors' meetings, the Corporate Bylaws and Bylaws Amendments, the Corporate Bank Resolution and/or Bank Signature Cards must be attached. See the attached Certification Documentation Checklist for more detail.

B. What is the number of the firm's annual full-time work force? _____

6A. Date business was established (<i>month, day, year</i>)	B. Date current owner(s) purchased the majority ownership of the firm (<i>month, day, year</i>)	C. Has your firm applied for reorganization under Chapter 11, and/or liquidation under Chapter 7, within the last 3 years? <input type="checkbox"/> Yes <input type="checkbox"/> No
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7. Has your company applied for certification in the past?
 Yes No

If so, list the names that have been used previously _____

8. Identification Numbers and Certification:

A. Federal Identification number	B. Are you an SBA 8a certified business? <input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, attach a copy of Certification	C. Is this firm currently certified as a DBE, MBE or WBE with its own state? <input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, attach a copy of Certification
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D. If you are certified as a DBE, MBE, or WBE by any other federal, state or local agency, please attach a copy of your certifications.	E. Has this firm's home state conducted an on-site visit within the last year? <input type="checkbox"/> Yes <input type="checkbox"/> No
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9. Ownership (*work experience resumes of each person must be attached*)
 A. Identify all individuals or holding companies and list their cash, equipment and/or real estate investment in the firm; and attach the documentation of the source of these investments. (*If additional space is required, submit an attached sheet*)

Name	Home telephone number ()		
Home address (<i>street and number</i>)	City	State	ZIP code
Sex (<i>gender</i>) <input type="checkbox"/> Male <input type="checkbox"/> Female	Ethnic group <input type="checkbox"/> Black <input type="checkbox"/> Asian Pacific <input type="checkbox"/> Hispanic <input type="checkbox"/> Asian Indian <input type="checkbox"/> Native American <input type="checkbox"/> Other (<i>explain</i>) <input type="checkbox"/> Caucasian _____ <input type="checkbox"/> Multi-Racial	Initial investment to acquire ownership interest in firm:	
Number of years owned		Type	Dollar Value
Percentage owned _____ %		Dollars	\$
U.S. citizen <input type="checkbox"/> Yes <input type="checkbox"/> No	Legal permanent resident (<i>submit proof of status</i>) <input type="checkbox"/> Yes <input type="checkbox"/> No	Real Estate	\$
		Equipment	\$

Name	Home telephone number ()		
Home address (<i>street and number</i>)	City	State	ZIP code
Sex (<i>gender</i>) <input type="checkbox"/> Male <input type="checkbox"/> Female	Ethnic group <input type="checkbox"/> Black <input type="checkbox"/> Asian Pacific <input type="checkbox"/> Hispanic <input type="checkbox"/> Asian Indian <input type="checkbox"/> Native American <input type="checkbox"/> Other (<i>explain</i>) <input type="checkbox"/> Caucasian _____ <input type="checkbox"/> Multi-Racial	Initial investment to acquire ownership interest in firm:	
Number of years owned		Type	Dollar Value
Percentage owned _____ %		Dollars	\$
U.S. citizen <input type="checkbox"/> Yes <input type="checkbox"/> No	Legal permanent resident (<i>submit proof of status</i>) <input type="checkbox"/> Yes <input type="checkbox"/> No	Real Estate	\$
		Equipment	\$

9A. Ownership (continued)			
Name		Home telephone number ()	
Home address (street and number)		City	State ZIP code
Sex (gender) <input type="checkbox"/> Male <input type="checkbox"/> Female	Ethnic group <input type="checkbox"/> Black <input type="checkbox"/> Asian Pacific <input type="checkbox"/> Hispanic <input type="checkbox"/> Asian Indian <input type="checkbox"/> Native American <input type="checkbox"/> Other (explain) <input type="checkbox"/> Caucasian _____ <input type="checkbox"/> Multi-Racial		Initial investment to acquire ownership interest in firm:
Number of years owned			Type Dollar Value
Percentage owned %			Dollars \$
U.S. citizen <input type="checkbox"/> Yes <input type="checkbox"/> No	Legal permanent resident (submit proof of status) <input type="checkbox"/> Yes <input type="checkbox"/> No		Real Estate \$
		Equipment \$	

Name		Home telephone number ()	
Home address (street and number)		City	State ZIP code
Sex (gender) <input type="checkbox"/> Male <input type="checkbox"/> Female	Ethnic group <input type="checkbox"/> Black <input type="checkbox"/> Asian Pacific <input type="checkbox"/> Hispanic <input type="checkbox"/> Asian Indian <input type="checkbox"/> Native American <input type="checkbox"/> Other (explain) <input type="checkbox"/> Caucasian _____ <input type="checkbox"/> Multi-Racial		Initial investment to acquire ownership interest in firm:
Number of years owned			Type Dollar Value
Percentage owned %			Dollars \$
U.S. citizen <input type="checkbox"/> Yes <input type="checkbox"/> No	Legal permanent resident (submit proof of status) <input type="checkbox"/> Yes <input type="checkbox"/> No		Real Estate \$
		Equipment \$	

B. Identify officers (work experience resumes of each person must be attached). If additional space is required, submit an attached sheet.

Name	Title	Ethnicity	Gender	Date Appointed

C. Identify current Board of Directors (work experience resumes of each person must be attached). If additional space is required, submit an attached sheet.

Name	Title	Ethnicity	Gender	Date Appointed

10. Indicate management personnel who control the firm in the following areas. (Attach work experience resumes, including dates of employment at each company, for each person). If more than two persons, please attach a separate sheet.

A. Financial Decision: (responsibility for check signing, acquisition of lines of credit, surety bonding, supplies, etc.)

Name	Title	Ethnicity	Gender

B. Estimating: (cost estimates, bid preparation or negotiations)

Name	Title	Ethnicity	Gender

C. Hiring/firing of management personnel:

Name	Title	Ethnicity	Gender

D. Field/Production Operations Supervisor: <i>(site supervision/scheduling, project management services)</i>			
Name	Title	Ethnicity	Gender

E. List all field supervisors:			
Name	Title	Ethnicity	Gender

F. Contract signature authority: <i>(contract execution, bid submission)</i>			
Name	Title	Ethnicity	Gender

G. Office management:			
Name	Title	Ethnicity	Gender

H. Marketing/Sales:			
Name	Title	Ethnicity	Gender

I. Purchasing of major equipment:			
Name	Title	Ethnicity	Gender

11A. Do any of the people listed in questions 9 and 10 perform a management or supervisory function for any other business? Yes No If Yes, identify the person, their title, business and the person's function.

B. Do any of the persons listed in questions 9 and 10 own or work for other firms which have a business relationship with yours? *(Relationships include: ownership interest, shared office space, financial investments, equipment leases or personnel sharing.)* Yes No If Yes, identify the firm, the person and the business relationship.

12. Identify persons or firms who provide the following services:

A. External management or technical/computer service

Name of firm	Name of person
Address	Telephone number ()

B. Accountant

Name of firm	Name of person
Address	Telephone number ()

C. Attorney

Name of firm	Name of person
Address	Telephone number ()

12D. Principal Suppliers:	
Name of firm	Name of person
Address	Telephone number ()
Materials or equipment supplied	
Name of firm	Name of person
Address	Telephone number ()
Materials or equipment supplied	

E. Identify those union(s), business or professional association(s) in which the owner(s) or management personnel have membership:	
Name of union, business or professional association	
Address	Telephone number ()
Name of union, business or professional association	
Address	Telephone number ()
Name of union, business or professional association	
Address	Telephone number ()

13. Attach a list of construction equipment and/or vehicles in your possession or under your control (*indicate separately*) and a list of office equipment, office space (*owned or leased*) and storage space (*owned or leased*), including signed leasing agreements.

14. Financial Information:	
A. Provide the following banking information:	
Name of bank	Name of officer
Address of bank	Telephone number ()
B. If you have bonding capacity, identify the agent or broker and the bonding limit:	
Name of agent or broker	Bonding limit \$
Address of agent or broker	Telephone number

C. Provide copies of year end balance sheet and profit and loss (*income*) statements for the last three (3) years, or if a new business, provide a current balance sheet, a projected profit and loss statement for the next twelve (12) month period and a projected balance sheet for the end of that period.

D. Identify all sources, amount and purposes of money loaned to the firm, including name of person securing the loan, if other than owner. Provide copies of all loan agreements.		
Name of Source	Address of Source	Amount
		\$
		\$
		\$

15. Current licenses (<i>e.g. contractor, engineer, architect, ICC, etc.</i>)			
Name of Individual or Firm	Name of License	Date of Expiration	License Number

16. Has this firm or any of its owners, Board of Directors, officers or management personnel been denied or decertified DBE, MBE or WBE certification before by any agency in any state? <input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, indicate the state, the name of the agency and the date.			
State	Name of agency	Date (month, day, year)	
Provide a copy of the denial or decertification letter(s).			
17A. Specify the gross receipts of the firm for the last three (3) years.			
Year ending:		Total receipts = \$	
Year ending:		Total receipts = \$	
Year ending:		Total receipts = \$	
B. List the three (3) largest contracts completed in the past three (3) years:			
Name of owner/contractor		Name/location of project	
Name of owner/contractor		Name/location of project	
Name of owner/contractor		Name/location of project	
C. List three active jobs this firm is currently working on:			
Name of prime contractor and project number	Location of project	Date project began	Anticipated completion date
Name of prime contractor and project number	Location of project	Date project began	Anticipated completion date
Name of prime contractor and project number	Location of project	Date project began	Anticipated completion date

PERSONS AUTHORIZED TO EXECUTE CONTRACTS

18. All partners must sign contracts unless a power of attorney is supplied modifying this. In the case of a corporation, only those signatures listed will be accepted. For a not-for-profit organization, the highest ranking officer's signature is needed. The following persons are duly authorized to execute contracts and related documents on behalf of:	
Name of company	
NAME AND TITLE (type or print)	AUTHORIZED SIGNATURE
19. As a supplier, please address the following:	
A. How large of an inventory do you maintain?	
B. Where do you maintain your inventory?	
C. From whom do you purchase your inventory?	
D. Type of delivery system used?	

20A. List type of work firm has performed or desires to perform under certification. (Be very thorough.)	B. Provide your firms UNSPSC codes for these services.
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21. Is your business registered with the Indiana Secretary of State's office? <input type="checkbox"/> Yes <input type="checkbox"/> No	If yes, please provide number
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22. Indicate which region(s) of the state you prefer to work in (see map)

23. Type of business <input type="checkbox"/> Contractor <input type="checkbox"/> Subcontractor <input type="checkbox"/> Consultant <input type="checkbox"/> Supplier <input type="checkbox"/> Vendor <input type="checkbox"/> Service Professional <input type="checkbox"/> Service Organization
--

FOR FIRMS WISHING TO DO BUSINESS WITH THE CITY OF INDIANAPOLIS

24. Indicate the trade in which your business is engaged. <input type="checkbox"/> Construction <input type="checkbox"/> Retail <input type="checkbox"/> Supplier / Distributor <input type="checkbox"/> Manufacturer <input type="checkbox"/> Service <input type="checkbox"/> Broker <input type="checkbox"/> Other: _____ <i>(Please indicate)</i>
--

25. Does any principal in your firm, or the spouse of any principal, owe any money to the firm? <input type="checkbox"/> Yes <input type="checkbox"/> No

AFFIDAVIT OF CERTIFICATION

The undersigned swears or affirms that the foregoing statements are true and correct and include all material information necessary to identify and explain the operations of _____
(Name of company)
as well as the ownership thereof. Any misrepresentation will be grounds for terminating any contract which may be awarded and for initiating action under federal or state laws concerning false statements.

Signature of owner, officer or partner	Date signed (month, day, year)
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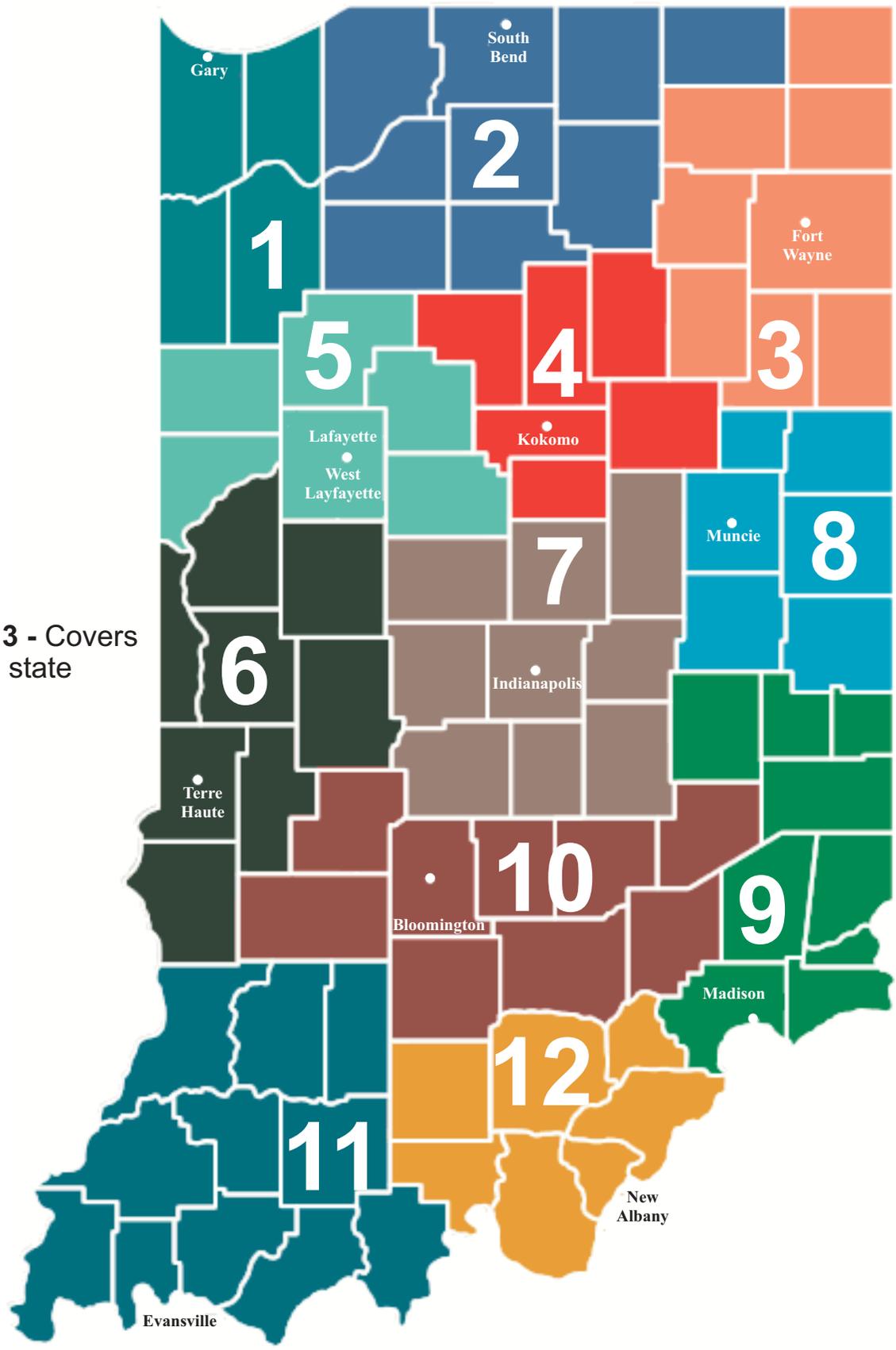
NOTARY CERTIFICATE

STATE OF _____ COUNTY OF _____	} SS: Subscribed and sworn to before me this _____ day of _____, 20_____.
---------------------------------------	--

Signature of Notary Public	Printed or typed name of Notary Public
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County of residence	Date commission expires
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Region 13 - Covers the entire state



**INDIANA DEPARTMENT OF ADMINISTRATION
MINORITY AND WOMEN'S BUSINESS ENTERPRISES DIVISION
CERTIFICATION DOCUMENTATION CHECKLIST**

Name of company

All applicants must provide the documentation listed under "ALL APPLICATION" plus the additional documentation requested for their type of firm (*i.e. An out-of-state sole proprietor must provide the documentation requested under "ALL APPLICATIONS", "SOLE PROPRIETOR" and "OUT OF STATE FIRMS".*) Please write "n/a" or "none" next to any item that does not apply to your company and include an explanatory note. Copies of these documents are sufficient.

ITEM	PROVIDED	FOR OFFICE USE ONLY	
		VERIFIED	DATE
ALL APPLICATIONS			
NOTE: Re-cert apps. don't need to provide items marked with * unless they have changed.			
Birth certificate of owners *			
Ethnic documentation, driver's license, passport, naturalization certificate of owners.			
Work resume of all owners, officers and personnel listed on the application (<i>application item 9</i>) - resumes should cover the past 3 years, please do not send biographical sketches			
Proof of initial investment - All owners (<i>application item 9</i>) * - receipts, bank statements, both sides of canceled checks, etc.			
Proof of company owned real estate (<i>title, warranty deed, tax or mortgage statement</i>)			
Titles or registrations to any company owned vehicle leases (<i>application item 13</i>)			
Signed loan agreements or promissory notes (<i>application item 14D</i>)			
Relevant licenses (<i>application item 15</i>)			
List of active contracts (<i>application item 16C</i>)			
Notarized signature on affidavit of certification (<i>page 7 of application</i>)			
List of all company equipment and equipment leases (<i>include office equipment</i>)			
SOLE PROPRIETORS			
Personal tax returns for past 3 years			
Past 3 years company income statements & balance sheets			
PARTNERSHIPS			
Personal tax returns for past 3 years for all owners			
Partnership tax returns for past 3 years			
Partnership agreement (<i>original and any amended versions</i>) *			
Past 3 years company income statements & balance sheets			
CORPORATIONS			
Articles of incorporation (<i>original and any amendments - include filing copy with state seal/stamp</i>)*			
By-laws (<i>original and any amendments</i>) *			
Minutes of stockholders & board meetings (<i>past 3 years</i>)			
Stock certificates (<i>both sides</i>) *			
Stock ledger (<i>include names, certificate numbers, dates, transfers, cancellations</i>) *			
Corporate bank resolutions and/or bank signature card(s) *			
Personal tax returns for past 3 years for all owners			
Corporate tax returns for past 3 years			
Past 3 years company income statements & balance sheets			
Annual salaries of all owners, officers, managers and directors for the previous year			

