

MBE CERTIFICATION APPLICATION



614 W. MAIN STREET, SUITE 5500
LOUISVILLE, KY 40202

TSMSDC - National Minority Supplier Development Council MBE Application for Certification

Please answer all questions as completely as possible. When answers require more space, use additional paper, properly identifying the item referred by the appropriate number. If a particular question does not apply to your business operation, write not applicable (NA) in the space provided. **Company submitting application must be at least fifty-one percent (51%) owned by one or more minority individuals with U.S. citizenship.** Please be sure to read carefully the list of required documentation on page 7 and include with your completed application a non-refundable processing fee of \$250.00. Make check payable to TSMSDC.

Date of application: _____ Check if home

1. Company : _____

2. Parent Company: _____

3. Street Address: _____

4. Mailing Address [if different]: _____

5. City: _____ 6. State: _____ 7. Zip: _____

8. Telephone: _____ 9. Fax Number: _____

10. Website Address: _____ 11. E-mail Address: _____

12. List owner and title:

Owner's Name(s)	Owner's Title

13. Key Contact (s) Name: _____ 14. Key Contact's Title: _____

15. NAICS Codes (s): (maximum 5 codes) _____

If you don't know your NAICS Code, go to: <http://www.naics.com/search.htm>

16A. Type of Business:

Check primary function. Check all that apply.

- Brokers/Agents
- Construction Contractor
- Consultant/Professionals
- Distributor
- Manufacturer
- Manufacturer's Rep
- Service Contractor
- Transportation
- Other: _____

16B. Type of Business

Structure:

- Corporation
- LLC
- LLP
- Partnership
- Sole Proprietorship*

17. Geographic market

- Local
- Regional
- National
- International

*NMSDC's definition of Sole Proprietorship is a company owned/operated 100% by one (1) individual or married couple. Split ownership does not constitute Sole Proprietorship.

18. Date Business was established: _____

19. Is your company currently certified by other NMSDC affiliate council?

- Yes. Name of Council _____ Date: _____
- No

20. Has your company ever been denied certification?

- No
- Yes. By whom _____ Date: _____

21. IRS Employer's ID Number : _____

Social Security Number : _____

22. What are the gross receipts of your firm for each of the past four years? (If in business less than one year, provide gross receipts to date)

Year Ending _____ \$ _____ Year Ending _____ \$ _____
 Year Ending _____ \$ _____ Year Ending _____ \$ _____

23. Dun & Bradstreet # : _____

24. A. Number of Employees: Full Time _____ Part Time _____

24. B. Number of Minority Employees: _____

25. Date of Acquisition (check one): _____

- Bought Existing Business
- Started Business
- Merger or Consolidation
- Secured a Franchise
- Other (Please Specify): _____

26. A. Minority Ownership by Ethnicity and Gender (Check one or more)*:

- BLF Black American Female
- LAF Hispanic American Female
- NAF Native American Female
- APF Asian Pacific American Female
- AIF Asian Indian American Female
- BLM Black American Male
- LAM Hispanic American Male
- NAM Native American Male
- APM Asian Pacific American Male
- AIM Asian Indian American Male

26. B. Please list each proprietor, partner, officer, director and stockholder. The name listed should include Minority Group Members and Non-Minority Group Members. Under ownership column note is S (Stockholder, Proprietor or partner), or D (director and/or Officer)/**Citizenship status - 1=By Birth or 2=Naturalized Citizen.** NMSDC does not certify non-citizens.

Name/Title	Ethnic Origin	Gender	Citizenship	Years of Ownership	Ownership Role	Ownership Percentage (Entries must total 100%)	Voting Percentage

***MINORITY GROUP**

A citizen of the United States who is Black, Hispanic, or Native American. Asian Pacific whose origins are in Japan, China, the Philippines, Vietnam, Korea, Samoa, Guam, the U.S. Trust Territory and the Pacific Islands, the Northern Marinas Islands, Laos, Kampuchea (Cambodia), Taiwan, Burma, Thailand, Malaysia, Indonesia, Singapore, Brunei, Republic of the Marshall Islands, or the Federated States of Micronesia. Native American means American Indians, Eskimos, Aleuts, and Native Hawaiians. Asian Indian Americans include United States citizens whose origins are from India, Pakistan, and Bangladesh.

27. Are business premises: (check one)

- Owned
- Leased

List or attach location of all additional facilities: _____

28. List of contributions of each of the owners.

Name	Actual Money	Equipment	Real Estate	Expertise
	\$			years
	\$			years
	\$			years
	\$			years

29. If license or permit is required to provide product or service, give information as follows:

Name of License Holder	Type of License/Permit	License Number

30. Does your company share any resources with any other firm or individual? Yes No
 (Office facilities, storage space, equipment, personnel, inventory, financing, etc.) If yes, please identify and explain fully.

31. Identify any owner, management official or employee of your company who is associated with any other business.

Yes No If yes, explain fully and identify the business or person with whom you have an agreement and attach any written agreement and/or explain any oral or intended agreement.

32. Identify those individuals (owners, non-owners and key employees) who are responsible for the day-to-day operations and policy decision-making, including those with prime responsibilities for:

Operation	Name	Title	Ethnic Origin
Financial decisions			
Signatory on major documents			
Personnel management			
Marketing/sales			
Payroll			
Estimating			
Purchasing of major items			
Supervision of Field Operations			
What jobs firm will undertake			

33. Is the company bonded?

Yes, Amount _____

No

Bonding/Security Company _____

34. Does the company have a Government Security Clearance?

Yes

No

If yes, indicate clearance level:

Top Secret

Facility

Individual

- Confidential
- Secret

35. Indicate Union Affiliations _____

36. Is the company bonded?

- Yes, Amount _____
 - No
- Bonding /Security Company _____

37. Provide three current customer references.

*A. COMPANY _____

Address _____

City/State/ZIP _____

Buyer _____ Phone: _____

Product/Service _____ Dollar Volume: _____

*B.

COMPANY _____

Address _____

City/State/ZIP _____

Buyer _____ Phone: _____

Product/Service _____ Dollar Volume: _____

* C.

COMPANY _____

Address _____

City/State/ZIP _____

Buyer _____ Phone: _____

Product/Service _____ Dollar Volume: _____

38. Provide two current bank references

* A. Name of Bank Officer _____ Title: _____

Name of Institution _____

Address _____

City/State/ZIP _____

Type of Account _____ Credit Line: _____

* B. Name of Bank Officer _____ Title: _____

Name of Institution _____

Address _____

City/State/ZIP _____

Type of Account _____ Credit Line: _____

Name of Bank Officer _____ Title: _____

39 . In the space below, please give a concise description of company's product(s), service(s), or type of construction. If your company offers more than one product/service, list primary product or service first. Use additional paper, if necessary, and attach to this form. The description below will be placed in our database and online directory.

40. If company is a **Distributor**, please complete: Average Dollar Value of Inventory:

41. If company is a **Manufacturer**, list basic equipment and indicate whether equipment is leased or owned.

Basic Equipment	Leased/Owned
_____	_____
_____	_____
_____	_____

42. If company is a **Contractor**, please complete the following section:

License # _____ License Certification _____

Trade Specialty _____

Union Name/Local _____ Union Affiliation _____

Most Recent Project:
Project Name _____ Start Date _____ Finish Date _____

Geographical Area _____ Dollar Value _____

NOTE: PLEASE SEND COPY OF BONDING CERTIFICATE

Please name your responsible Managing Officer or responsible Managing Employee:

43. Transportation Information:

- Operating Status:
- Independent Carrier

Common Carrier Operating Authorities:

- Interstate
- Intrastate

Insurance Carrier

List the Commodities you normally transport

Vehicles/Equipment	Owned/Leased & Quantity	Registration No.
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

NOTE: Please forward copies of all applicable vehicle title and/or lease agreements with this application

44. Does the applicant business have any subsidiaries or affiliates or is it a subsidiary of another concern? Check one:

- Yes
- No

If yes, provide the name, address, and telephone number of the subsidiary, affiliate or parent company. Also describe the relationship of the applicant company to the subsidiary, affiliate or parent.

45. Does applicant business concern or any person listed in 32 above have or intend to enter into any type of agreement with any other concern or person which relates to or affects the on-going administration, management or operations of the applicant concern? Such agreements include but are not limited to management and joint venture agreements and any arrangement or contract involving the provision of such compensated services as administrative service, marketing, production and other type of compensated services. If yes, attach a copy of any written agreement or an explanation of any oral or intended agreement.

- Yes
- No

46. Is the applicant business concern involved in any present or pending lawsuit?

Check one:

- Yes, If yes, provide details on a separate sheet.
- No

47. How did you hear about the TRI-STATE MINORITY SUPPLIER DEVELOPMENT COUNCIL? Council MBE

- Event or Presentation
- A corporate member
- Newspaper, Radio, TV
- Other (Please specify)

48. Supply a copy of the applicant's financial statement for one year preceding the year of application or for the time that the applicant has been in business if less than one year, plus financial statement of any subsidiaries of affiliates of the applicant for the same period of time. If the applicant is a new business concern, enclose a copy of an opening balance sheet and projection of income, or a statement by a certified public accountant, which states that the applicant is a viable business concern. All financial statements submitted to the Council must show applicable date of the information given and must be signed and dated by the proprietor, partner or authorized officer unless prepared by an independent certified public accountant. All materials will be kept confidential.

DOCUMENTATION ATTACHMENTS – Please include appropriate documentation with the application and please indicate which documents are attached. The documentation required for certification is listed below, but is not limited to:

ALL BUSINESS ARE REQUIRED TO SUBMIT:

- Fictitious Business Statement (if applicable)
- Proof of U.S. Citizenship (passport, birth certificate)
- Proof of Ethnicity for Owner(s), Partners, Shareholders (driver's license, birth certificate)
- Two Years of Federal Tax Returns (Business)*
- Financial Statements (P &L , statement of cash flows, balance sheet)
- Notes Payable (if any)
- Applicable Operating Business License and/or permits
- Lease Agreements
- Resume(s) of owner(s), partners or shareholders
- Equipment Rental and Purchase Agreements (if applicable)
- Contract or work history for the past three years (if applicable) (name/contact type of work performed or type of contract received)
- Equipment owned or available (include description of equipment, year acquired, and current value)
- Proof of Bonding Capacity (if applicable)
- Bank Signature Card (copy signature card or letter from bank)
- Indian/Native Americans Blood Degree Certificate (i.e. tribal registry letter, tribal roll register number) [if applicable]
- \$250.00 non-refundable processing fee

CORPORATIONS SUBMIT:

- Article of Incorporation
- Certificate of Corporation
- Minutes of 1st Board Meeting
- Copies of Stock Certificates
- Current Stock Ledger
- Corporate Bylaws and
- Proof of Stock Purchase

LLC SUBMIT:

- Article of Organization
- Operating Agreement
- Membership Units

PARTNERSHIPS SUBMIT:

- Partnership Agreements
- Buy Out Rights
- Profit Sharing
- Current Partnership
- Financial Statement
- Third-party agreements: management service agreements
- Proof of Capital Investment

***Personal taxes if in business less than 1 year**

IF YOU CHOOSE NOT TO INCLUDE FINANCIAL DOCUMENTATION FOR PROPRIETARY REASONS, THE DOCUMENTATION WILL NEED TO BE REVIEWED AT THE TIME OF YOUR ON-SITE VISIT.

IMPORTANT NOTE:

Please submit only required documents in chronological order. The submission of a neatly organized application accompanied with the required documents will expedite the processing of your application. Please provide an explanation for any documentation you cannot provide.

Incomplete applications will promptly be returned.

DECLARATION OF CERTIFICATION OF MINORITY STATUS

I (We) have completed and submitted the Minority Supplier Registration and Database Input Form as requested by the TRI-STATE MINORITY SUPPLIER DEVELOPMENT COUNCIL and hereby certify that the information contained herein and all attachments submitted are true and correct and accurate to the best of my (our) knowledge and belief. I (We) understand that this Declaration of Certification and the criteria set forth have been developed according to the guidelines established by the NATIONAL MINORITY SUPPLIER DEVELOPMENT COUNCIL. The certification, when granted, will be for a one (1) year period. I (We) further understand that completion and submission of this form, together with all attachments hereto, is not necessarily the sole criteria for determining certification of minority status by the TRI-STATE MINORITY SUPPLIER DEVELOPMENT COUNCIL.

I (We) acknowledge that if the Council discovers that a statement has been made herein which the applicant knows to be false, the certification process will be terminated immediately. I (We) agree that all materials submitted with this package shall become the property of the Council.

I (We) further agree that once certified, the continued certification and registration by the TRI-STATE MINORITY SUPPLIER DEVELOPMENT COUNCIL will be according to the guidelines, rules and regulations of the TRI-STATE MINORITY SUPPLIER DEVELOPMENT COUNCIL and the NATIONAL MINORITY SUPPLIER DEVELOPMENT COUNCIL and may be amended for time to time. Termination of my (our) status may be based upon, but not necessarily limited to, any one of the following:

1. Cessation of business operation by the minority business concern.
2. Discovery that any false information was knowingly supplied to the TRI-STATE MINORITY SUPPLIER DEVELOPMENT COUNCIL in the completion of this form or as contained in any attachments submitted.
3. Failure to provide timely notice or withholding of any notice to the TRI-STATE MINORITY SUPPLIER DEVELOPMENT COUNCIL of the transfer or loss of ownership and/or management and control of the business concern by its minority group members.
4. Failure or refusal to allow the TRI-STATE MINORITY SUPPLIER DEVELOPMENT COUNCIL and/or its representative access to the company's place of business upon reasonable notice and demand for the purpose of a site visit.
5. Sale, exchange, or transfer of ownership of the minority business concern, if such transfer results in the loss of control and ownership of the business concern by the minority group members.

I (We) understand and agree that the TRI-STATE MINORITY SUPPLIER DEVELOPMENT COUNCIL reserves the right to request any further and additional information that it may deem necessary to substantiate the information and representations made by the applicant (applicants) for certification. I (We) declare that the company in whose name this application is being submitted is at least fifty-one percent (51%) owned by one or more minority individuals (as defined herein) and such individuals control, operate and manage the company.

The undersigned hereby agrees (agree) to hold TRI-STATE MINORITY SUPPLIER DEVELOPMENT COUNCIL free and harmless from any and all claims, demands, and damages whatsoever arising out of the presentation of this application and agrees to indemnify and hold TRI-STATE MINORITY SUPPLIER DEVELOPMENT COUNCIL harmless for any and all liability in connection with the certification of the information contained in this application.

The undersigned hereby declares (declare) under penalty of perjury that all statements made in this application and any attachments hereto are true and correct. **I understand that the \$250 Registration Fee is included and non-refundable**

(Sign On Next Page)

Business Name _____

Signature of Proprietor, all Partners or President of the Corporation

Date _____

Date _____

Date _____

Date _____

Please have this form **NOTARIZED**, retain a copy of this form for your files and return the original and the attachments to:

**Minority Business Certification
TRI-STATE MINORITY SUPPLIER DEVELOPMENT COUNCIL
614 West Main Street, Suite 5500
Louisville, KY 40202**

State of _____

County of _____

On _____20____, before me, (name) _____ the undersigned

Notary Public, personally appeared (name) _____, personally known to me, or proved to me on the basis of satisfactory evidence, to be the person(s) whose name (s) is/are subscribed to the within instrument, and acknowledged to me that he/she they executed in the same in his/her their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s) of the entity upon which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

Notary Public _____

(Seal)

Commission Expires _____

Public Law 99-272, the "Consolidated Omnibus Budget Reconciliation Act of 1985," which amends Section 16 of the Small Business Act, establishes penalties of up to a \$50,000 fine or imprisonment of up to five years, or both, for misrepresenting, in writing, the status of any concern or small business owned and controlled by socially and economically disadvantaged individuals (a "DBE") in order to obtain for oneself or another any prime subcontract to be awarded as a result or in furtherance or any provision of federal law that specifically references Section 8(D) if the Small Business Act for a definition of eligibility.

NOTE:

Public Utilities Code Section 8285, False Representation of Business; Punishment. Any person or corporation, through its director, officers, or agent, which falsely represents the business as a woman or minority business enterprise in the procurement or attempt to procure contracts from electric, gas, and telephone corporations, with gross annual revenues, exceeding twenty-five million dollars (\$25,000,000) and their commission-regulated subsidiaries and affiliates pursuant to this article, shall be punished by a fine of not more than five thousand dollars (\$5,000), or by imprisonment.