

M/WBE APPLICATION INTAKE AND CHECKLIST

Business Name:		DBA:	
Owner's Name:		Tax ID:	
Ethnicity:	<input type="checkbox"/> Black <input type="checkbox"/> Hispanic <input type="checkbox"/> Asian-Pacific <input type="checkbox"/> Asian-Indian <input type="checkbox"/> Native American	Business Structure:	<input type="checkbox"/> Sole Proprietor <input type="checkbox"/> Partnership <input type="checkbox"/> Corporation <input type="checkbox"/> LLC
County: <input type="checkbox"/> Erie County		Addendum: <input type="checkbox"/> NYS	

No.	Document Description	R1	R2									
1.	Résumés of all principals, partners, officers, and/or key employees of the firm for each person/identified/listed in the following application questions 2. Name & Position of all person(s) with ownership interest 13. Number of Employees 17. Identify those individuals responsible for managerial operations Must include: <ul style="list-style-type: none"> • Home Address • Phone Number • Education • Training • Employment Dates 	<input type="checkbox"/>	<input type="checkbox"/>									
2.	Bank signature card, bank resolution, or bank letter identifying person(s) authorized to conduct transactions, level of authority and limitations, if any Must include: <ul style="list-style-type: none"> • Business Name • All business account number(s) • All authorized signers • Level of authority and limitations 	<input type="checkbox"/>	<input type="checkbox"/>									
3.	Current Balance Sheet and Profit & Loss Statement. <ul style="list-style-type: none"> • For last 12 months or last completed Fiscal year. 	<input type="checkbox"/>	<input type="checkbox"/>									
4.	Most recent two years' Federal, State, and City tax returns, including all schedules (e.g. Schedule K-1) where applicable <ul style="list-style-type: none"> • Tax returns must be signed. • Tax returns must include Federal State and City portions. • Include "Ownership Distribution" and/or "Compensation of Officers" forms. • If business is less than 3 years old supplement with personal tax returns (for each owner + W2's) • If extension was filed, submit the extension plus three (2) previous years. • If this is an out of state business, include tax returns for all states filed. 	<input type="checkbox"/>	<input type="checkbox"/>									
5.	Proof of sources of capitalization/investments <ul style="list-style-type: none"> • Must be an invoice for product purchases (from seller). • Must display business name and address (except consultants). • Must display products purchased. • RECEIPTS/INVOICE FOR ANY TANGIBLE PRODUCT. <table border="0"> <tr> <td>• Business Cards</td> <td>• Cell Phones</td> <td rowspan="4">• If the purchase was made with a company credit/debit card (and the business name is not listed on the receipt) you must provide a copy of the card in order to prove this is a business purchase.</td> </tr> <tr> <td>• Office Supplies</td> <td>• iPad</td> </tr> <tr> <td>• Office Equipment</td> <td>• Software</td> </tr> <tr> <td>• Equipment</td> <td>• Tools</td> </tr> </table> 	• Business Cards	• Cell Phones	• If the purchase was made with a company credit/debit card (and the business name is not listed on the receipt) you must provide a copy of the card in order to prove this is a business purchase.	• Office Supplies	• iPad	• Office Equipment	• Software	• Equipment	• Tools	<input type="checkbox"/>	<input type="checkbox"/>
• Business Cards	• Cell Phones	• If the purchase was made with a company credit/debit card (and the business name is not listed on the receipt) you must provide a copy of the card in order to prove this is a business purchase.										
• Office Supplies	• iPad											
• Office Equipment	• Software											
• Equipment	• Tools											

6.	Proof of ethnicity If the firm is applying for MBE or MWBE Certification, for each Minority who has an ownership interest in the applicant firm, you will need to provide proof establishing that the applicant, the applicant's parent or grandparent is a member of a minority group as described on page 2 of the instructions for this Application. Valid proofs of ethnicity include, but are not limited to: <ul style="list-style-type: none"> • Birth or Baptismal Certificate for yourself, a parent, or grandparent; • Photo ID which indicates applicant's ethnicity • Death Certificate – for a parent or grandparent; • Military Records • Naturalization Papers – for yourself, a parent, or grandparent; • Official court rule specifically recognizing applicant's minority descent – for yourself, or parents, or grandparent; 	<input type="checkbox"/>	<input type="checkbox"/>
7.	Proof of US Citizenship Passport, birth certificate, or naturalization certificate for each minority or woman owner listed.	<input type="checkbox"/>	<input type="checkbox"/>
8.	Proof of permanent resident alien status Permanent Resident Alien Status (Green Card) for each minority or woman owner listed.	<input type="checkbox"/>	<input type="checkbox"/>
9.	Lease Agreements (per application questions 20 and 21) <ul style="list-style-type: none"> • Must include business name (except Sole Prop.) • Must match address on application. • Must be signed. • Must be valid for a least six (6) months after date application is submitted. • If "month to month", provide three (3) months' proof of rent payment. 	<input type="checkbox"/>	<input type="checkbox"/>
10.	All third party agreements including, equipment rental, purchase agreements, management service agreements, etc. <ul style="list-style-type: none"> • These are consumed services. Examples: <ul style="list-style-type: none"> • Legal • Accounting • Web Hosting Fees • Internet Service • Phone Service • Equipment Lease • Insurance • Web Design • Sub-Contractor • Payroll Service • Vehicle Rentals • Education/Training • Networking Events • Subscriptions • Memberships 	<input type="checkbox"/>	<input type="checkbox"/>
11.	Any employment agreement(s). <ul style="list-style-type: none"> • Agreement(s) with employees, if any. 	<input type="checkbox"/>	<input type="checkbox"/>
12.	Vehicle registration(s). <ul style="list-style-type: none"> • Registration(s) for all vehicles used for business purposes and/or charged to the Business. 	<input type="checkbox"/>	<input type="checkbox"/>
13.	Any certification, decertification or denial of certification documentation. <ul style="list-style-type: none"> • Out-of-state firms should attach a copy of their home state certification, if similar process exists 	<input type="checkbox"/>	<input type="checkbox"/>
14.	(If applicable) Written request for exemption from disclosure regarding trade secrets	<input type="checkbox"/>	<input type="checkbox"/>
15.	If Out-of-state firm, the Authority to Do Business In New York State. <ul style="list-style-type: none"> • Out of State firms should attach copy of their home state certification, if similar process exists. • Only businesses registered outside of New York must obtain a New York State Certificate of Authority from the New York State Corporation Division at (518) 473-2492, or online through http://www.dos.state.ny.us/corps/index.html 	<input type="checkbox"/>	<input type="checkbox"/>

REQUIRED FOR A SOLE PROPRIETORSHIP

No.	Document Description	RI	R2
1.	Copy of Certificate Trade Name or Business Trade Name filed with County Clerk <ul style="list-style-type: none"> • (If doing business under an assumed name) 	<input type="checkbox"/>	<input type="checkbox"/>

REQUIRED FOR PARTNERSHIP AND A JOINT VENTURE PARTNERSHIP

No.	Document Description	RI	R2
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1.	Business Certificate (If doing business under an assumed name)	<input type="checkbox"/>	<input type="checkbox"/>
2.	Partnership Agreement	<input type="checkbox"/>	<input type="checkbox"/>
3.	Buy-Out Rights	<input type="checkbox"/>	<input type="checkbox"/>

REQUIRED FOR A CORPORATION

No.	Document Description	R1	R2
1.	Articles of Incorporation, including date approved by State (If doing business under an assumed name)	<input type="checkbox"/>	<input type="checkbox"/>
2.	Corporation by-laws	<input type="checkbox"/>	<input type="checkbox"/>
3.	Minutes of first corporate organizational meeting and amendments	<input type="checkbox"/>	<input type="checkbox"/>
4.	Copies of all issued stock certificates, front and back, as well as, next unissued certificate	<input type="checkbox"/>	<input type="checkbox"/>
5.	Copy of stock ledger	<input type="checkbox"/>	<input type="checkbox"/>
6.	If applicable, furnish copies of agreements relating to: <ul style="list-style-type: none"> • Stock Options • Shareholder Agreements • Shareholder voter rights • Restriction on the disposal of stock loan agreements • Facts pertaining to the value of shares • Buy-out rights • Restriction on the control of the corporation 	<input type="checkbox"/>	<input type="checkbox"/>

REQUIRED FOR ALL LLC/LLPs

No.	Document Description	R1	R2
1.	Certificate of Registration	<input type="checkbox"/>	<input type="checkbox"/>
2.	Articles of Organization	<input type="checkbox"/>	<input type="checkbox"/>
3.	Operating Agreement	<input type="checkbox"/>	<input type="checkbox"/>