



Initial Application Checklist by Business Structure

Preparing Your Application

In the process of preparing a completed application for submission to the Pennsylvania Unified Certification Program (PAUCP) for the Disadvantaged Business Enterprise (DBE), Airport Concession Disadvantaged Business Enterprise (ACDBE) or Both DBE/ACDBE, the below outline has been created to assist your firm with what supporting documents (in addition to the Uniform Certification Application) are required. The below list is organized based on the business structure of your firm, and in some circumstances, may not be a comprehensive list.

Gathering and sorting these documents ahead of time, should enable your firm to quickly upload them when applying through the PAUCP. If your firm decides to mail in a physical copy of your PAUCP Application, the supporting documents within this list should also be used as an aid for submission. Please note, in the absence of any particular check-listed item, your firm must provide a statement on company letter head as to the circumstances surrounding why your firm does not possess the item, or why the item is not applicable.

If you have additional questions concerning the items outlined in this checklist, please contact one of the Certifying Partners by clicking on the "Contact Us" hyperlink, under Important links on the left-hand panel.

PA UCP Supporting Document Checklist

Supporting Documents for all Firms (Regardless of business structure)

<input type="radio"/>	DBE/ACDBE and SBA 8(a), SDB, MBE/WBE certifications, denials, and/or decertification's, if applicable; and any U.S. DOT appeal decisions on these actions.
<input type="radio"/>	Personal Net Worth Statement for each socially and economically disadvantaged owners comprising 51% or more of the ownership percentage of the applicant firm.
<input type="radio"/>	Personal Federal tax returns for the past 3 years, if applicable, for each disadvantaged owner
<input type="radio"/>	Year-end balance sheets and income statements for the past 3 years (or life of firm, if less than three years)
<input type="radio"/>	Federal tax returns (and requests for extensions) filed by the firm and its affiliates with related schedules, form, attachments and pages therein, for the past 3 years.
<input type="radio"/>	Résumés (that include places of employment with corresponding dates), for all owners, officers, and key personnel of the applicant firm
<input type="radio"/>	Documented proof of contributions used to acquire ownership for each owner (e.g., both sides of cancelled checks)
<input type="radio"/>	Signed loan and security agreements, and bonding forms
<input type="radio"/>	Descriptions of all real estate (including office/storage space, etc.) owned/leased by your firm and documented proof of ownership/signed leases
<input type="radio"/>	List of equipment and/or vehicles owned and leased including VIN numbers, copy of titles, proof of ownership, insurance cards for each vehicle.
<input type="radio"/>	Documented proof of any transfers of assets to/from your firm and/or to/from any of its owners over the past 2 years
<input type="radio"/>	Licenses, license renewal forms, permits, and haul authority forms
<input type="radio"/>	Bank authorization and signatory cards
<input type="radio"/>	Schedule of salaries (or other remuneration) paid to all officers, managers, owners, and/or directors of the firm
<input type="radio"/>	List of all employees, job titles, and dates of employment.
<input type="radio"/>	Trust agreements held by any owner claiming disadvantaged status

Trucking Only		Supplier Only	
<input type="radio"/>	Insurance agreements	<input type="radio"/>	List of product lines carried
<input type="radio"/>	Titles/registration cards for each truck owned or operated	<input type="radio"/>	List of distribution equipment owned/leased
<input type="radio"/>	List of all DOT #'s for each truck (if applicable)		

<u>Supporting Documents by Business Structure</u>			
Corporations		Limited Liability Company (LLC/LLP)	
<input type="radio"/>	Articles of Incorporation (stamped/signed by the state)	<input type="radio"/>	Certificate of Organization (stamped/signed by the state)
<input type="radio"/>	Corporate by-laws and any amendments	<input type="radio"/>	Operating agreement including exhibits and/or any amendments
<input type="radio"/>	Stock Certificates (both sides)	<input type="radio"/>	Membership certificates (both sides)
<input type="radio"/>	Stock Ledger	<input type="radio"/>	Meeting Minutes and/or Election of Officers
<input type="radio"/>	Shareholder's agreement		
<input type="radio"/>	Meeting Minutes, Election of Officers/Directors		
Partnership and Joint Venture		Sole Proprietor	
<input type="radio"/>	Partnership/Joint Venture agreement and any amendments	<input type="radio"/>	Fictitious name registration (stamped/signed by the state)