

APPLICATION FOR MINORITY, WOMEN-OWNED & SMALL BUSINESS ENTERPRISE (M/W/SBE) CERTIFICATION

City of Roswell Purchasing Division
38 Hill Street, Suite 130
Roswell, GA 30075
(770) 641-3718 www.roswell.gov



SECTION I - GENERAL INFO

Application Date _____

Name of Business (DBA if applicable) _____

Date Business was Established _____

Type of Ownership	<input type="checkbox"/> Corporation	Date of Incorporation	_____
		State of Incorporation	_____
	<input type="checkbox"/> Partnership	Date Established	_____
	<input type="checkbox"/> Sole Proprietorship	Date Established	_____

Nature of Business (major services, products, trade, etc.) _____

Address of Business _____

Mailing Address _____

Email Address _____

Business Phone _____

Other Phone _____

Fax Number _____

Contact Person (full name and title) _____

Federal Tax ID No. or Owner's Soc. Sec. No. _____

Business NAICS Code _____

SECTION II - BUSINESS CLASSIFICATION

- | | | |
|---------------------------------------|--------------------------------------|---------------------------------------|
| <input type="checkbox"/> Manufacturer | <input type="checkbox"/> Broker | <input type="checkbox"/> Professional |
| <input type="checkbox"/> Wholesale | <input type="checkbox"/> Distributor | <input type="checkbox"/> Other |
| <input type="checkbox"/> Retailer | <input type="checkbox"/> Contractor | _____ |

Complete the question below only if the business is a Distributorship:

Average Dollar Value
of Inventory

\$ _____

List of Major
Suppliers:

	<u>Company</u>	<u>City & State</u>
1.	_____	_____
2.	_____	_____
3.	_____	_____

SECTION III – DEFINITIONS, ETHNICITY, OWNERSHIP

African-American: a person having origins in any of the black racial groups in Africa as well as those identified as Jamaican, Trinidadian or West Indian.

Spanish/Hispanic: a person who is either Mexican, Puerto Rican, Cuban, Central or South American in origin or descent regardless of race.

Asian American: a person having origins in the Far East, Philippines, Vietnam, Korea, Samoa, Guam, the U.S. Trust Territories of the Pacific, Northern Marianas, Laos, Cambodia, Taiwan or the Indian Subcontinent.

Caucasian: a person having origins in any of the original peoples of Europe, North Africa or the Middle East.

Native American: a person having origins in any of the original peoples of North America, American Indian, Eskimo, Aleut or Native Hawaiian.

Origin or descent can be regarded as the ancestry, nationality group, lineage or country in which the person or persons' parents or ancestors were born before their arrival in the United States.

BASED ON THE DEFINITIONS ABOVE SELECT THE ETHNIC GROUP AND PERCENTAGE OF OWNERSHIP OF THE PERSON(S) WHO OWNS AND CONTROLS 51% OR MORE OF THE BUSINESS:

African-American Male	%	Caucasian Female	%
_____	_____	_____	_____
African-American Female	%	Asian American Male	%
_____	_____	_____	_____
Spanish/Hispanic Male	%	Asian American Female	%
_____	_____	_____	_____
Spanish/Hispanic Female	%	Native American Male	%
_____	_____	_____	_____
Caucasian Male	%	Native American Female	%
_____	_____	_____	_____

SECTION IV – M/W/SBE CERTIFICATIONS, RESIDENCY & CONTROL

Has the business or any of its owners or officers been denied certification as a Minority, Women-owned or Small Business Enterprise by another government, agency or business?

- Yes No

If "Yes," name the government, agency or business that denied the M/W/SBE request for certification and state the reason(s) for denial.

List any other governments, agencies or businesses which have certified the business as a Minority, Women-owned or Small Business Enterprise in the Atlanta Metro Region:

Certification Approved

Certification Pending

<hr/>	<hr/>
<hr/>	<hr/>
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Is the Principal Owner a U.S. citizen?

- Yes No

If "No," is the Principal Owner a U.S. legal resident alien?

- Yes No

Give the name and title of the individual who controls the management and the daily operations of the business:

SECTION V – EMPLOYEE DATA¹

<u>Full-time Positions</u>	No.	<u>Part-time Positions</u>	No.
African-American Male	_____	African-American Male	_____
African-American Female	_____	African-American Female	_____
Spanish/Hispanic Male	_____	Spanish/Hispanic Male	_____
Spanish/Hispanic Female	_____	Spanish/Hispanic Female	_____
Asian American Male	_____	Asian American Male	_____
Asian American Female	_____	Asian American Female	_____
Native American Male	_____	Native American Male	_____
Native American Female	_____	Native American Female	_____
Caucasian Male	_____	Caucasian Male	_____
Caucasian Female	_____	Caucasian Female	_____
Total Full-time	_____	Total Part-time	_____

EMPLOYEE POSITION

<u>Management</u>	No.	<u>Administrative/Clerical</u>	No.
African-American Male	_____	African-American Male	_____
African-American Female	_____	African-American Female	_____
Spanish/Hispanic Male	_____	Spanish/Hispanic Male	_____
Spanish/Hispanic Female	_____	Spanish/Hispanic Female	_____
Asian American Male	_____	Asian American Male	_____
Asian American Female	_____	Asian American Female	_____
Native American Male	_____	Native American Male	_____
Native American Female	_____	Native American Female	_____
Caucasian Male	_____	Caucasian Male	_____
Caucasian Female	_____	Caucasian Female	_____

¹ Average number of employees for the 12 calendar months immediately prior to the request to participate in the City's M/W/SBE program.

EMPLOYEE POSITION - CONTINUED

<u>Professional/Technical</u>	No.	<u>Craftsmen/Laborers</u>	No.
African-American Male	_____	African-American Male	_____
African-American Female	_____	African-American Female	_____
Spanish/Hispanic Male	_____	Spanish/Hispanic Male	_____
Spanish/Hispanic Female	_____	Spanish/Hispanic Female	_____
Asian American Male	_____	Asian American Male	_____
Asian American Female	_____	Asian American Female	_____
Native American Male	_____	Native American Male	_____
Native American Female	_____	Native American Female	_____
Caucasian Male	_____	Caucasian Male	_____
Caucasian Female	_____	Caucasian Female	_____

SECTION VI – CORPORATIONS

1. Is any of the stock of the corporation pledged, subject to any lien agreement or beneficially owned by anyone other than the applicant for M/W/SBE certification?

Yes²

No

2. Is any holder of stock in the corporation a party to any agreement relating to the management or control of the corporation, the rights of the holders of any class of stock or the corporation or the sale, transfer or transferability of any stock of the corporation?

Yes³

No

3. Please complete the following statement, if applicable:

The business has issued _____ shares of stock and _____ are common stock and _____ are preferred stock.

² If "Yes," please attach all such ownership documentation to this application for certification.

³ If "Yes," please attach all such ownership documentation to this application for certification.

CORPORATIONS - CONTINUED

Identify all of the business' current Board of Directors and those who have served on the Board over the past two years:

<u>Name</u>	<u>Gender</u>	<u>Ethnicity</u>	<u>Title or Position</u>	<u>Length of Service</u>
1. _____	_____	_____	_____	_____
2. _____	_____	_____	_____	_____
3. _____	_____	_____	_____	_____
4. _____	_____	_____	_____	_____
5. _____	_____	_____	_____	_____
6. _____	_____	_____	_____	_____
7. _____	_____	_____	_____	_____
8. _____	_____	_____	_____	_____
9. _____	_____	_____	_____	_____
10. _____	_____	_____	_____	_____

SECTION VII – MANAGEMENT RESPONSIBILITY

Identify those individuals (owners and non-owners) who possess the power to direct or cause the direction of the management and policies of the firm in the following areas:

Policy Making	_____	_____
	Name	Title
Financial Decisions	_____	_____
	Name	Title
Hiring/Dismissal of personnel	_____	_____
	Name	Title
Signs Payroll	_____	_____
	Name	Title

Signs Contracts	_____	_____
	Name	Title
Authorizes purchase of equipment	_____	_____
	Name	Title
Supervises field operations	_____	_____
	Name	Title
Makes decisions on contract bidding	_____	_____
	Name	Title
Job estimating	_____	_____
	Name	Title
Applies for Surety Bonds and insurance	_____	_____
	Name	Title

SECTION VIII – BANKING, CREDIT & BONDING CAPACITY

Identify the business' banking institution and other sources of letter of credit.

Banking Institution Name & Address	Letters of Credit Name & Address
_____	_____
_____	_____
_____	_____

Identify the business' Bonding Company and capacity (if applicable).

Name: _____

Address/State/Zip: _____

Bonding Capacity: \$ _____

Identify all sources and amounts of money loaned to and/or invested in the business.

<u>Source</u>	<u>Dollar Amount</u>	<u>Purpose</u>
_____	\$ _____	_____
_____	\$ _____	_____
_____	\$ _____	_____
_____	\$ _____	_____
_____	\$ _____	_____

SECTION IX – LICENSING & BUSINESS VALUE

Indicate whether the business is licensed to do business in or with the City of Roswell, City of Atlanta, Fulton County, the State of Georgia or other local jurisdictions.

<u>Type of license</u>	<u>License Number</u>	<u>Name in which the license was obtained</u>
_____	# _____	_____
_____	# _____	_____
_____	# _____	_____
_____	# _____	_____
_____	# _____	_____

List the business' Gross Receipts and net worth for the past three years:

<u>Year</u>	<u>Gross Receipts</u>	<u>Net Worth</u>
_____	\$ _____	\$ _____
_____	\$ _____	\$ _____
_____	\$ _____	\$ _____

SECTION X – EQUIPMENT AND CONTRACTING

Owned Equipment	Quantity	Leased Equipment	Name & Address of Owner
1. _____	_____	_____	_____
2. _____	_____	_____	_____
3. _____	_____	_____	_____
4. _____	_____	_____	_____
5. _____	_____	_____	_____

List at least three of the largest contracts in dollar amounts completed by the business in the past year.

<u>Contract \$ Amount</u>	<u>Class of Work</u>	<u>Contract Date</u>	<u>Name & Address of Owner</u>	<u>City/State</u>
1. _____	_____	_____	_____	_____
2. _____	_____	_____	_____	_____
3. _____	_____	_____	_____	_____
4. _____	_____	_____	_____	_____
5. _____	_____	_____	_____	_____

SECTION XI - CERTIFICATION

Businesses requesting to be certified under the City of Roswell's M/W/SBE Program must affirm:

1. That there are no written, oral or tacit agreements concerning the control and financial operation of the firm between any persons associated with the firm; and
2. That the information contained in this Application for M/W/SBE Certification is true and correct based upon the knowledge of the individual authorized to sign below.

Authorized
Signature

Name

Title

Date

The City of Roswell does not permit discrimination on the basis of any prohibited characteristic, including race, color, religion, sex, national origin, citizenship, age, military status, political affiliation, disability or other classifications protected by law.

Additional Information

In addition to the information provided in the certification form, the City of Roswell requires that applicants requesting certification as M/W/SBEs submit the following documentation to assist the City in making an eligibility determination:

1. Two forms of documentation showing proof of ethnicity of the minority or women owner(s);
 - a. One document must be a photo identification such as:
 - i. A birth certificate;
 - ii. A driver's license;
 - iii. A passport; or
 - iv. A tribal registration.
 - b. Resident legal aliens must present proof of citizenship.
2. A copy of at least three of the contracts listed in "Section X – Equipment & Contracting" above, a purchase order and/or invoices, receipts to customers and/or a list of current customers or entities with which the business has contracts.
3. The last three years of Federal Income Tax Returns with the corresponding business schedules.
4. The last four quarters of wage reports for all employees.
5. Resumes for each owner and key personnel showing education and employment histories, to include each person's title and dates that they held these titles.
6. Copies of all bank signature cards or letters from banks verifying signatories and the number of signatures required.
7. Copies of Occupational Licenses and professional licenses for the business (if any).

Additional documentation required of a Corporation:

1. Articles of incorporation, showing the State approval date;
 - a. By-laws, including:

- i. Amendments;
 - ii. Minutes of the first and last corporate organizational meeting; and
 - iii. All resolutions effecting ownership.
- 2. Copies of all stock certificates, including:
 - a. Those voided and/or transferred; or
 - b. Copies of stock transfer ledgers.

Additional documentation required of Partnerships:

- 1. The Partnership Agreement including buy-out rights and profit sharing descriptions.

Additional documentation required of Sole Proprietorships:

- 1. Personal income tax returns with corresponding business schedules.

Note:

Additional information may be requested by the City of Roswell's Purchasing Division in order to make an informed decision about a business' ability to meet the certification requirements of the City's M/W/SBE program. The City of Roswell's Purchasing Manager may request additional information not contained in this application at his discretion.