



Documentation Required for Certification

Please provide all documents listed. If a document is not being submitted, please provide an explanation detailing the reason(s) it is being omitted and/or how it is not applicable to the applicant company. If applying for WOSB certification *in addition* to WBE certification, please refer to the end of this document for additional WOSB documentation requirements.

Note: Your assigned Regional Partner Organization (RPO) and/or WBENC reserves the right to request additional documentation, if necessary, to determine the eligibility of your firm for certification as a WBE and WOSB (if applying for WOSB certification).

General Information – Requirements are the same for all business structures.

- Printed *Summary View* of the application form from WBENCLink
 - After completing the Product Management/Change tab of the online certification application (the final tab), click “Save and Next”. A popup window will appear that contains the Summary View.
 - Print the summary view and review it to ensure all information is correct. If it is not, return to the application and edit by closing the summary view, making the necessary changes on the appropriate tabs, and clicking “Save and Next” from the “Additional Info” tab once again. The Summary View will reappear in a popup window once again.
 - After you are confident the information is true and correct, click “Submit” to submit your application electronically.
 - After you have submitted, click “Summary View” once again to print two copies of your application Summary View. Submit a copy with the required documentation for certification and maintain a copy for your records.
- Signed Sworn Affidavit
 - Signed by majority female business owner(s) & notarized by a third party.
 - There is a link to “Print Affidavit” located above the summary view when it is open. Direct link:
http://www.wbenc.org/default/Documents/Certification/Sworn_Affidavit_5-10-2010.pdf
- WBENCLink User Agreement 3.7
 - Must be signed by majority female owner(s).
 - Agreement can be found at www.wbenc.org. Select “Certification” in the right-hand navigation menu and then select “Documentation Required” from the sub-menu. Under the “General” section, there is a link to download the WBENCLink User Agreement on that page. Direct link:
http://www.wbenc.org/default/Documents/Certification/WBENCLink_User_Agreement_Section_3-7_01-2012.pdf

- Processing Fee
 - Contact your assigned [Regional Partner Organization](http://www.wbenc.org/About-WBENC/Regional-Partner-Organizations/) to identify the fee for your business to obtain WBE certification. Direct Link: <http://www.wbenc.org/About-WBENC/Regional-Partner-Organizations/>
- History of the Business
- Personal account of when, where, why, with whom, and how the business was started/acquired, as well as primary business of the company
- Professional and business license(s) (if applicable)
- Resumes of owners, board of directors, and key management team
 - Biographies are not an acceptable substitute
 - Resumes should cover related professional experience

Owner Eligibility – Requirements are the same for all business structures. One document must be a photo I.D. for identity verification purposes.

- Evidence of gender for female owner(s)
 - Copy of current U.S. Passport, U.S. Birth Certificate, or Driver's License
- Evidence of U.S. Citizenship or Permanent Legal Resident Alien Status for female owner(s)
 - Copy of current U.S. Passport, U.S. Birth Certificate, naturalization papers, or permanent legal resident alien card

Financial Structure – Requirements are the same for all business structures.

- Financial statements for the business
 - Profit and loss statement that aligns with the most recent tax return submitted
 - Balance sheet that aligns with the most recent tax return submitted
 - For a new business that has been in operation for less than one year, submit an opening balance sheet only
- Three years' signed Federal Income Tax returns, as filed with the IRS
 - Includes current and prior years federal income tax returns for the business with **all** schedules and statements attached
 - For businesses less than three years old, substitute personal federal income tax returns for the appropriate number of years with **all** schedules and statements attached. When submitting personal tax returns, you may black out any social security numbers and dependent names
 - If personal tax returns are being submitted, personal tax returns must be submitted by any individual that owns 10% or more of the company
 - If your company has applied for an extension to file for the most recent tax year, submit extension paperwork
 - Submitting state returns will delay the processing of your file
- Please submit copies of the following documents that are currently active:

- Debt instruments: Include loan agreements, promissory notes, surety agreements, security agreements, etc. as applicable
- Equipment rental and purchase agreements or proof of purchase of equipment
- Real estate leases
- Copy of bank signature authorization card or corporate resolution
 - This document should be provided by your financial institution
 - If the item does not exist or your financial institution does not release this information, please have your financial institution write a letter indicating the company name, type of accounts held, who has signatory authority for those accounts, as well as any stipulations/restrictions pertaining to signatory authority (e.g. two signatures required for amounts greater than \$10,000)
- Proof of capital and/or equity investment by female owner(s)
 - Any document or written statements indicating the method by which the female owner(s) obtained her ownership interest (e.g. cancelled checks, opening bank statement, proof of stock purchase, written statement by owner, list of contributed equipment/expertise, etc.)

Personnel – Requirements are the same for all business structures.

- List of all full and part time employees by name, position and length of service or date of hire
- Employee payroll for the month prior to submitting the application
 - Indicate time span of the pay period on the document
 - For each employee, list his/her name, title/position, hours worked for the pay period indicated, gross pay for the pay period indicated, hourly pay rate and/or commission earned in period (if applicable)
 - Information is required for internal employees, not those who are leased to/from other companies
- W-2s and/or 1099 forms from every officer, director, or owner receiving compensation from the company for the most recent year

Management Information - Requirements are the same for all business structures.

- Trust agreement(s) that involve the majority female owner(s)
- Employee Stock Ownership Plan Agreements (ESOPs)
- Submit copies of the following documents that are currently active:
 - Management/consulting agreements
 - Any agreements with individuals and/or vendors who are providing management/consulting services to the applicant company
 - These are agreements that influence the management and/or operations of the applicant company

- DO NOT submit client agreements between the applicant company and its customers
- Service agreements
 - These are agreements that influence the day-to-day operations, including the production and/or distribution of the applicant company's product or service
- Affiliate/subsidiary agreements
 - An affiliation is a relationship with a company that has does not share any common ownership
 - A subsidiary relationship is one where there is common ownership
 - If the affiliate/subsidiary company is a certified WBE, please include a copy of the WBE certificate; otherwise, include only the agreement
- Franchise Agreements (if applicable)

Governance Information – Requirements **DIFFER** by business structure.

Sole Proprietorships

- Assumed Name Documents

Partnerships

- Partnership Agreements
- Limited Partnership Certificate
 - If Applicant is a limited partnership, submit a certificate of existence and a copy of the certificate of limited partnership issued by the state of formation
- Buy-Out Rights Agreement
- Profit Sharing Agreements

Corporations

- Certificate of Incorporation
- Articles/Charter of Incorporation
- Minutes from shareholders' first organizational meeting
- Minutes from first meeting of board of directors
- Minutes from shareholders' meeting establishing current ownership
- Minutes from board of directors' meeting establishing current ownership
- Minutes from most recent meeting of shareholders
- Minutes from most recent meeting of board of directors
- Current corporate bylaws with all amendments and attachments
- Currently dated Certificate from the Board Secretary certifying the names, titles, and gender of all current members of the board of directors
 - This item may not apply to companies where 100% of all stock is held by one individual
- Both sides of ALL stock certificates

- Record of stock certificates issued and transferred (stock transfer ledger)
- Voting agreements and other equity interests including stock options, warrants, buy/sell agreements, and right of first refusal
- Schedule of advances made to corporation by shareholders for the preceding three years
- If an out-of-state corporation, proof of authority to do business in state where corporation is headquartered

Limited Liability Corporations

- Articles of Organization or Articles of Formation
- Certificate of Organization/Existence/Formation (for businesses in states that issue certificates)
- LLC Regulations and/or Operating Agreement and/or Member Agreement
- Member List with Titles and gender
- Schedule of Advances made to LLC by members for the preceding three years
- If an out-of-state LLC, proof of authority to do business in state where LLC is headquartered

Additional Documentation Required for WOSB Certification

Partnerships, Corporations, and LLCs Only: If the SBA Small Business Size Standard for your eligible NAICS code(s) is calculated based on Employee Number, please submit:

- IRS Form 941 (Quarterly Tax Return) for preceding 12 months **OR**
- W-3 (Transmittal of Wage & Tax Statements) for past year **OR**
- List of all employees if Forms 941 or W3 are not available for the past year