



Form 2062 (rev. 09/01)

Texas Department of Transportation  
 Construction Division/BOP Section  
 125 E. 11<sup>th</sup> Street  
 Austin, TX 78701-2483  
 (512) 486-5530

**SMALL BUSINESS ENTERPRISE (SBE) CERTIFICATION APPLICATION**  
 RETURN TO ABOVE LISTED ADDRESS

**INSTRUCTIONS:** All questions must be answered and all information requested must be submitted. **DO NOT LEAVE ANY SPACE BLANK; ENTER "N/A" FOR NOT APPLICABLE.** If your application is not legible, complete, signed, dated and notarized and accompanied by all required documentation, your certification will be delayed. For assistance, call the above number.

1. <b>NAME AND ADDRESS</b> (Company Name --Mailing Address - Street Address(If different) - City-State-Zip Code)  Telephone: _____ Fax: _____	2. <b>PRIMARY OWNER</b> (X appropriate box) <b>CITIZENSHIP:</b> <input type="checkbox"/> <b>U. S. Citizen</b> <input type="checkbox"/> <b>Lawfully Admitted Permanent Resident</b> <input type="checkbox"/> <b>Other (explain):</b> _____ ----- (OPTIONAL: For Statistical Purposes Only) <input type="checkbox"/> African-American <input type="checkbox"/> Alaskan Native <b>GENDER</b> <input type="checkbox"/> Hispanic <input type="checkbox"/> Asian American <input type="checkbox"/> Female <input type="checkbox"/> Native American <input type="checkbox"/> Asian Pacific <input type="checkbox"/> Male <input type="checkbox"/> Non-designated Group
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3. <b>PRIMARY OWNER</b> (Name – Title – Telephone – Fax)	4. <b>BUSINESS STRUCTURE:</b> Date _____ <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Corporation <input type="checkbox"/> Limited Liability Partnership <input type="checkbox"/> Partnership <input type="checkbox"/> Limited Liability Corporation
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5. **OWNERSHIP:** (Provide information for all owners) For additional space, attach a continuation sheet in the format below:

<u>Name (First, MI, Last)</u>	<u>Title</u>	<u>% of Ownership</u>	<u>Authorized Signature</u>
_____	_____	_____	_____
_____	_____	_____	_____

6. **GROSS RECEIPTS AND EMPLOYMENT LEVELS:** Beginning with the most recent year in which the business filed a federal income tax return with the Internal Revenue Service (IRS) and going back three previous years, provide the gross receipts figures as they were reported on the federal income tax returns. Also, provide the total number of employees that were reported at least once on the business federal and state employer's quarterly reports for each of the respective tax filing reporting periods.

<u>GROSS RECEIPTS</u>	<u># OF EMPLOYEES</u>	<u>TAX FILING YEAR</u>	<u>GROSS RECEIPTS</u>	<u># OF EMPLOYEES</u>	<u>TAX FILING YEAR</u>
(1) _____	_____	_____	(3) _____	_____	_____
(2) _____	_____	_____	(4) _____	_____	_____

Business size will be determined by the Business Activity and Service listed on your firm's tax return, Schedule C or Schedule K.

7. <b>DOES YOUR COMPANY OWN MAJOR EQUIPMENT?</b> <input type="checkbox"/> YES <input type="checkbox"/> NO  <b>DOES YOUR COMPANY HAVE LEASED EQUIPMENT?</b> <input type="checkbox"/> YES <input type="checkbox"/> NO List owned/leased equipment on separate sheet, by type and quantity.	8. <b>PAYEE IDENTIFICATION NUMBER:</b> Check the appropriate type of Identification Number assigned to the business for tax filing purposes and provide the number below: <input type="checkbox"/> <b>FEDERAL IDENTIFICATION NUMBER</b> (Employee ID #): _____ <b>or</b> <input type="checkbox"/> <b>SOCIAL SECURITY NUMBER</b> (SSN): _____
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9. LIST ANY OTHER AGENCY CERTIFICATIONS THAT YOUR FIRM HAS RECEIVED:

10. LIST THE THREE (3) LARGEST CONTRACTS THAT YOUR FIRM HAS RECEIVED:

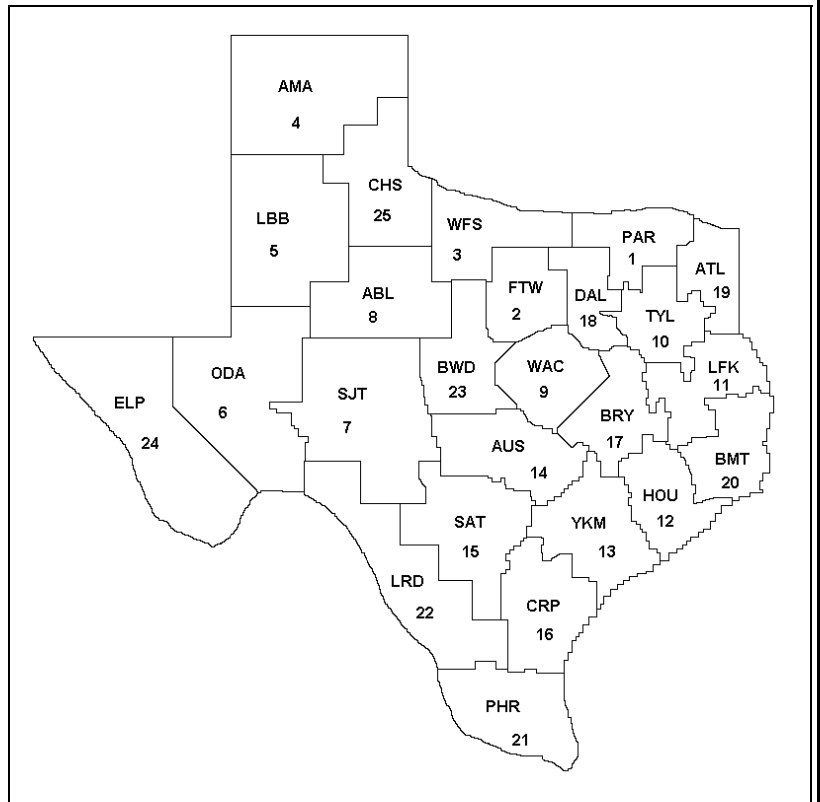
<u>CONTRACT</u>	<u>AMOUNT</u>	<u>CONTACT PERSON</u>	<u>PHONE NUMBER</u>	<u>TYPE OF WORK</u>	<u>DATE</u>
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____

11. NATURE OF BUSINESS: Check the type of work that your business does. Should your firm's type not be listed below, indicate service provided and percent of dollar value.

- Asphalt** - includes seal coats and surface treatments, limestone rock asphalt, cold- mix asphaltic concrete pavement, hot mix asphaltic concrete pavement, etc.
- Concrete Paving and Incidentals** - includes jointed concrete pavement and continuously reinforced concrete pavement
- Earthwork, Base and Subbase** - includes preparing ROW, clearing, removing old concrete, roadway and channel excavation, embankments, subbase courses, base courses, etc.
- Fencing** - includes wire, chain link and metal beam guard fence, metal bridge railing, etc.
- Hauling** - includes hauling of base material, gravel, sand, hot mix, etc.
- Illumination** - includes placement of conduit and wire, poles, roadway and bridge lights, etc.
- Landscaping** - includes roadside planting, erosion control, sodding, seeding, etc.
- Major Structures** - includes structural excavation, drill shafts, piling, concrete for columns, bents, abutments, slabs, structural steel, rebar, etc.
- Material Suppliers** - suppliers of construction materials kept in inventory for public sale (60% credit). Manufacturers and suppliers (100% credit).
- Minor Structures and Miscellaneous Concrete** - includes CGM and RC pipe, inlets, manholes, sewers, box culverts, sidewalks, driveways, riprap, curb and gutter, concrete bridge railing, concrete median barrier, etc.
- Painting** - includes painting of structural steel and concrete structures
- Rest Areas** - includes steel, masonry or wood fabrication and erection, electrical wiring, plumbing, etc.
- Traffic Control Devices** - includes traffic signals, signs, barricades, pavement markers, buttons, edge lines, striping, etc.
- Underground and Utility Work** - includes PVC pipe, underground conduit, utility telephone lines, etc.
- Other**

12. Circle the district name in which this business is capable of working. Please be advised, should you select a statewide listing, the directory accessible on the TxDOT webpage will only list your firm as statewide and will not list it in the individual districts.

ABL	Abilene	LRD	Laredo
AMA	Amarillo	LBB	Lubbock
ATL	Atlanta	LFK	Lufkin
AUS	Austin	ODA	Odessa
BMT	Beaumont	PAR	Paris
BWD	Brownwood	PHR	Pharr
BRY	Bryan	SJT	San Angelo
CHS	Childress	SAT	San Antonio
CRP	Corpus Christi	TYL	Tyler
DAL	Dallas	WAC	Waco
ELP	El Paso	WFS	Wichita Falls
FTW	Fort Worth	YKM	Yoakum
HOU	Houston		



**Affidavit of Eligibility:**

I/we agree to provide all materials and information necessary to identify and explain the operation of the above named business and hereby permit, if required the audit and examination of its books, records, and files. I/we understand that any material misrepresentation of data for Small Business Enterprise Certification may result in immediate removal from certification. I/we the undersigned furthermore certify under penalty of law, that the above and foregoing information, including all requested documentation, is a full true and correct statement of the facts that substantiate the business' Small Business eligibility. I/we also understand that a person/business entity who intentionally applies as a Small Business for an award of a public works contract and who knowingly does not meet the definition of a Small Business commits a felony of the third degree . If there are any changes regarding the information contained or incorporated in this application, I/we will notify the TxDOT within 30 days of such changes. I/we agree to faithfully abide by the laws and rules of the State of Texas now in effect and any subsequent revisions thereof.

\_\_\_\_\_  
Printed Name of Majority Small Business Owner(s)

\_\_\_\_\_  
Signature of Majority Small Business Owner(s)

\_\_\_\_\_  
Printed Name of Majority Small Business Owner(s)

\_\_\_\_\_  
Signature of Majority Small Business Owner(s)

Subscribed and sworn to me the undersigned notary public on this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_ at \_\_\_\_\_.

(city, state)

/s/ \_\_\_\_\_  
(NOTARY)  
Seal (if required)  
My commission expires: \_\_\_\_\_

The Texas Department of Transportation maintains the information collected through this form. With few exceptions, you are entitled on request, to be informed about the information that is collected about you. Under Sections 552.021 and 552.023 of the Texas Government Code, you also are entitled to receive and review the information. Under Section 559.004 of the Government Code, you are also entitled to have us correct information about you that is incorrect.

**REQUIRED DOCUMENTATION FOR  
TXDOT SMALL BUSINESS ENTERPRISE (SBE) CERTIFICATION**

The applicant must provide any and all materials and information necessary to demonstrate active participation in the operation and management of the Small Business.

- I. ALL APPLICANTS MUST SUBMIT THE FOLLOWING WITH THE COMPLETED APPLICATION:**
- Either of the following, whichever applies, (also see II, III, IV, V, VI);
  - Signed copy of the four most current federal income tax returns Schedule C (Form 1040);
  - Signed copy of the four most current federal income tax returns Form 1065 and all Schedules;
  - Signed copy of the four most current federal income tax returns Form 1120, 1120A, or 1120S and all Schedules;
  - Signed copy of the four most current federal income tax returns Form 1065 and all Schedules.
- II. FOR A SOLE PROPRIETORSHIP, ADD:**
- Signed copy of the four most current federal income tax returns Schedule C (Form 1040)
    - If your business has not filed a federal income tax return with the Internal Revenue Service (IRS), please see “For New Businesses” below
  - Assumed Name Certificate/Certificate of Unincorporated Business (obtained at County Courthouse)
- III. FOR A PARTNERSHIP, ADD:**
- Signed copy of the four most current federal income tax returns Form 1065 and all Schedules
    - If your business has not filed a federal income tax return with the Internal Revenue Service (IRS), please see “For New Businesses” below
  - Assumed Name Certificate/Certificate of Unincorporated Business
  - Partnership Agreement
- IV. FOR A CORPORATION, ADD:**
- Signed copy of the four most current federal income tax returns Form 1120, 1120A, or 1120S and all Schedules
    - If your business has not filed a federal income tax return with the Internal Revenue Service (IRS), please see “For New Businesses” below
  - Certificate of Incorporation verifying Secretary of State registration
  - All stock certificates currently issued to all owners (NOT A SPECIMEN COPY)
  - Stock Transfer Ledger
  - Companies “Doing Business As (DBA)”, please submit your Assumed Name Certificate verifying county registration
- V. FOR A LIMITED LIABILITY CORPORATION (LLC)/LIMITED LIABILITY PARTNERSHIP (LLP), ADD:**
- Signed copy of the four most current federal income tax returns Form 1065 and all Schedules
  - If your business has not filed a federal income tax return with the Internal Revenue Service (IRS), please see “For New Businesses” below
  - Certificate of Organization and Articles of Organization verifying Secretary of State registration of business name
  - All Membership Certificates currently issued to all owners (NOT A SPECIMEN COPY) (if applicable)
  - Membership Transfer Ledger (LLC)/Ownership Interest Ledger (LLP)
- VI. FOR NEW BUSINESSES:**
- Businesses seeking certification that have not filed the business’s federal income tax return with the IRS must comply with the following requirements to be certified as a Small Business Enterprise:
- Submit copies of documents applicable to your business structure listed in items I-V
  - Submit a notarized balance sheet
  - Verification of Vendor Identification Number [i.e., IRS Taxpayer Identification Forms, W-2’s of the business, Sales Reports]