

# MINORITY AND WOMEN BUSINESS ENTERPRISE APPLICATION

## PERSONAL INFORMATION NOTICE

Pursuant to the Federal Privacy Act (P.L. 93-579) and the Information Practices Act of 1977 (Civil Code Sections 1798, et seq.), notice is hereby given for the request of personal information by this form. The requested information is voluntary. The principle purpose of the voluntary information is to facilitate the processing of this form. The failure to provide all or any part of the requested information may delay processing of this form. No disclosure of personal information will be made unless permissible under Article 6, Section 1798.24 of the IPA of 1977. Each individual has the right upon request and proper identification, to inspect all personal information in any record maintained on the individual by an identifying particular. Direct inquiries on information maintenance to your IPA Officer.

\*FAILURE TO INCLUDE SOCIAL SECURITY NUMBERS MAY DELAY THE CERTIFICATION PROCESS.

SMBE  
 SWBE Check One

1. NAME OF FIRM

|                   |      |                      |     |
|-------------------|------|----------------------|-----|
| DOING BUSINESS AS |      | CERTIFICATION NUMBER |     |
| PHYSICAL ADDRESS  | CITY | STATE                | ZIP |
| MAILING ADDRESS   | CITY | STATE                | ZIP |

|                           |                         |
|---------------------------|-------------------------|
| 2. MAJORITY OWNER(S) NAME | SOCIAL SECURITY NUMBER* |
|---------------------------|-------------------------|

|  |            |
|--|------------|
| 3. BUSINESS PHONE NUMBER (LIST ONLY ONE) | FAX NUMBER |
|--|------------|

|   |                              |                             |   |
|---|------------------------------|-----------------------------|---|
| 4. IS THE BUSINESS STREET ADDRESS OR THE BUSINESS PHONE NUMBER THE SAME AS THE RESIDENCE ADDRESS OR PHONE NUMBER? | <input type="checkbox"/> YES | <input type="checkbox"/> NO | IF YES, PLEASE EXPLAIN IN ITEM 25 OR ATTACH AN ADDITIONAL SHEET |
|---|------------------------------|-----------------------------|---|

5. CONTROLLING INTEREST (CHECK APPROPRIATE BOXES)

a. GROUP MEMBERSHIP

|   |   |  |  |   |
|---|---|--|--|---|
| <p><b>ASIAN-PACIFIC</b></p> <input type="checkbox"/> Burma (Myanmar)<br><input type="checkbox"/> Brunei<br><input type="checkbox"/> Cambodia (Kampuchea)<br><input type="checkbox"/> China<br><input type="checkbox"/> Federated States of Micronesia<br><input type="checkbox"/> Fiji<br><input type="checkbox"/> Guam<br><input type="checkbox"/> Hong Kong<br><input type="checkbox"/> Indonesia<br><input type="checkbox"/> Japan<br><input type="checkbox"/> Juvalu<br><input type="checkbox"/> Kirbati<br><input type="checkbox"/> Korea<br><input type="checkbox"/> Laos | <input type="checkbox"/> Macao<br><input type="checkbox"/> Malaysia<br><input type="checkbox"/> Northern Marianas<br><input type="checkbox"/> Nauru<br><input type="checkbox"/> Philippines<br><input type="checkbox"/> Samoa<br><input type="checkbox"/> Taiwan<br><input type="checkbox"/> Thailand<br><input type="checkbox"/> Tonga<br><input type="checkbox"/> U.S. Trust Territories of the Pacific Islands (Republic of Palau)<br><input type="checkbox"/> Vietnam | <input type="checkbox"/> India<br><input type="checkbox"/> Maldives Islands<br><input type="checkbox"/> Nepal<br><input type="checkbox"/> Pakistan<br><input type="checkbox"/> Sri Lanka                                   | <input type="checkbox"/> Portugal<br><input type="checkbox"/> Puerto Rico<br><input type="checkbox"/> Spain  | <p>b. U.S. CITIZEN</p> <input type="checkbox"/> YES <input type="checkbox"/> NO       |
| <p><b>ASIAN-SUBCONTINENT AMERICANS</b></p> <input type="checkbox"/> Bangladesh<br><input type="checkbox"/> Bhutan   | <p><b>BLACK AMERICANS</b></p> <input type="checkbox"/> <b>CAUCASIANS</b>  | <p><b>HISPANIC AMERICANS (Regardless of Race)</b></p> <input type="checkbox"/> Cuba<br><input type="checkbox"/> Central or South America<br><input type="checkbox"/> Dominican Republic<br><input type="checkbox"/> Mexico | <p><b>NATIVE AMERICANS</b></p> <input type="checkbox"/> Aleuts<br><input type="checkbox"/> American Indians<br><input type="checkbox"/> Eskimos<br><input type="checkbox"/> Native Hawaiians | <p>c. PERMANENT RESIDENT</p> <input type="checkbox"/> YES <input type="checkbox"/> NO |
|   |   |  |  | <p>d. GENDER</p> <input type="checkbox"/> MALE <input type="checkbox"/> FEMALE        |

**SOCIALLY AND ECONOMICALLY DISADVANTAGED INDIVIDUALS**

**OTHER**

*DOCUMENTED EVIDENCE MAY BE REQUESTED TO SUPPORT EACH OWNER'S CLAIM OF MINORITY OR DISADVANTAGED STATUS.*

6. TYPE OF OWNERSHIP (CHECK ONE)

SOLE PROPRIETORSHIP     CORPORATION     PARTNERSHIP     LIMITED LIABILITY COMPANY

|                       |                   |       |                   |
|-----------------------|-------------------|-------|-------------------|
| DATE BUSINESS STARTED | DATE INCORPORATED | STATE | DATE OF AGREEMENT |
|-----------------------|-------------------|-------|-------------------|

7. NATURE OF THIS FIRM'S BUSINESS

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8. LIST EACH LICENSE/PERMIT REQUIRED FOR YOUR BUSINESS

| NAME OF LICENSE QUALIFIER | SOCIAL SECURITY NUMBER | ISSUED BY | LICENSE TYPE | LICENSE # | EXPIRATION DATE |
|---------------------------|------------------------|-----------|--------------|-----------|-----------------|
|                           |                        |           |              |           |                 |
|                           |                        |           |              |           |                 |
|                           |                        |           |              |           |                 |

IF THE QUALIFYING INDIVIDUAL IS NOT ONE OF THE MINORITY OR WOMEN OWNERS LISTED IN ITEM 2, EXPLAIN IN ITEM 25

9. MANAGEMENT - INDICATE CONTROL OF FIRM IN THE FOLLOWING AREAS:

|   | NAME | RELATIONSHIP TO MAJORITY OWNER(S) | TITLE | GROUP MEMBERSHIP | GENDER (CIRCLE) |
|---|------|-----------------------------------|-------|------------------|-----------------|
| a. FINANCIAL DECISIONS                    |      |                                   |       |                  | M / F           |
| b. ESTIMATING                             |      |                                   |       |                  | M / F           |
| c. MARKETING/SALES                        |      |                                   |       |                  | M / F           |
| d. HIRE/FIRE MANAGEMENT                   |      |                                   |       |                  | M / F           |
| e. PURCHASING OF MAJOR EQUIPMENT/SUPPLIES |      |                                   |       |                  | M / F           |
| f. SUPERVISION OF FIELD OPERATIONS        |      |                                   |       |                  | M / F           |
| g. JOBS THE COMPANY WILL UNDERTAKE        |      |                                   |       |                  | M / F           |
| h. SURETY AND/OR PERFORMANCE BONDS        |      |                                   |       |                  | M / F           |
| i. INSURANCE                              |      |                                   |       |                  | M / F           |
| j. PAYROLL                                |      |                                   |       |                  | M / F           |

10. SOLE PROPRIETOR

| NAME | SOCIAL SECURITY NUMBER* | GROUP MEMBERSHIP | GENDER M / F | YEARS OWNED |
|------|-------------------------|------------------|--------------|-------------|
|      |                         |                  |              |             |

11. OWNERSHIP BREAKDOWN (Partnerships, Corporations & LLC - Attach additional pages if needed)

| NAME | SOCIAL SECURITY NUMBER* | OWNERSHIP % | GROUP MEMBERSHIP | GENDER (CIRCLE) | DATE OF PURCHASE | TOTAL COST | NO. OF SHARES |
|------|-------------------------|-------------|------------------|-----------------|------------------|------------|---------------|
|      |                         |             |                  | M / F           |                  |            |               |
|      |                         |             |                  | M / F           |                  |            |               |
|      |                         |             |                  | M / F           |                  |            |               |
|      |                         |             |                  | M / F           |                  |            |               |

TOTAL NUMBER OF SHARES ISSUED

NUMBER OF SHARES OUTSTANDING

11A. IS YOUR FIRM OWNED IN FULL OR IN PART BY ANOTHER COMPANY? LIST ON A SEPARATE SHEET THAT COMPANY'S SHAREHOLDERS TO INCLUDE PERCENTAGE OF OWNERSHIP INTEREST, AND THE NAMES AND ADDRESSES OF DIRECTORS AND OFFICERS. IF MINORITIES, SO INDICATE.

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**12. OFFICERS OF THE CORPORATION/LIMITED LIABILITY COMPANY (list the names and use additional sheets if needed)**

|                | NAME | GROUP MEMBERSHIP | GENDER (CIRCLE) | (DATE ELECTED) / (APPOINTED) |
|----------------|------|------------------|-----------------|------------------------------|
| PRESIDENT      |      |                  | M / F           |                              |
| VICE PRESIDENT |      |                  | M / F           |                              |
| SECRETARY      |      |                  | M / F           |                              |
| TREASURER      |      |                  | M / F           |                              |
| OTHER          |      |                  | M / F           |                              |

13. IDENTIFY ANY MANAGEMENT OFFICIAL OR OWNER (ITEM 2, 8, 9, 10, 11) WHO IS, OR WHO HAS BEEN, WITHIN THE LAST THREE YEARS, AN OWNER, MANAGER, OR EMPLOYEE OF ANOTHER FIRM THAT HAS AN OWNERSHIP INTEREST OR A PRESENT BUSINESS RELATIONSHIP WITH THE FIRM. PRESENT BUSINESS RELATIONSHIPS INCLUDE SHARED SPACE, EMPLOYEES, EQUIPMENT, OR FINANCING. EXPLAIN ANY SUCH RELATIONSHIPS BELOW.

**14. CURRENT BOARD OF DIRECTORS**

| NAME | SOCIAL SECURITY NUMBER* | GROUP MEMBERSHIP | GENDER (CIRCLE) | DATES OF SERVICE | HOME ADDRESS (Number, Street, City, State, Zip) |
|------|-------------------------|------------------|-----------------|------------------|---|
|      |                         |                  | M / F           |                  |   |
|      |                         |                  | M / F           |                  |   |
|      |                         |                  | M / F           |                  |   |
|      |                         |                  | M / F           |                  |   |

**15. PLEASE PROVIDE THIS FIRM'S EMPLOYEE INFORMATION FOR THE PAST CALENDAR YEAR**

|   |           |           |
|---|-----------|-----------|
| a. CURRENT NUMBER OF EMPLOYEES ON PAYROLL | FULL TIME | PART TIME |
|   |           |           |

b. WERE ANY OF THE EMPLOYEES ON ANOTHER CONTRACTOR'S PAYROLL CONCURRENT WITH EMPLOYMENT WITH THIS FIRM?  YES  NO IF YES, PLEASE EXPLAIN IN ITEM 25 OR ATTACH AN ADDITIONAL SHEET

16. DOES YOUR COMPANY OWN EQUIPMENT TO PROVIDE THE ESSENTIAL FUNCTIONS OF YOUR BUSINESS?  YES  NO

**17. INDICATE THIS FIRM'S GROSS RECEIPTS FROM THE LAST THREE (3) YEARS TAX RETURNS.**

| YEAR ENDING DATE | GROSS RECEIPTS |
|------------------|----------------|
| YEAR             | \$             |
| YEAR             | \$             |
| YEAR             | \$             |

**18. LIST ALL SOURCES, AMOUNTS OF MONEY LOANED TO THE FIRM AND THEIR UNPAID BALANCES (USE ADDITIONAL SHEETS IF NEEDED)**

| SOURCE | AMOUNT | UNPAID BALANCE | DATE DUE | REASON |
|--------|--------|----------------|----------|--------|
|        | \$     | \$             |          |        |
|        | \$     | \$             |          |        |
|        | \$     | \$             |          |        |

19(a.) HAS THE FIRM EVER BEEN DENIED CERTIFICATION AS A MINORITY/WOMEN BUSINESS ENTERPRISE BY ANY GOVERNMENTAL AGENCY?

YES  NO

19(b.) HAVE ANY OF THE INDIVIDUALS LISTED IN ITEMS 2, 9, 10, AND 11 BEEN AN OWNER OR MANAGER WITH A FIRM THAT HAS BEEN DENIED CERTIFICATION AS A MINORITY/WOMEN BUSINESS ENTERPRISE BY ANY OTHER GOVERNMENTAL AGENCY?

YES  NO

IF THE ANSWER TO 19(a.) OR 19(b.) IS YES, EXPLAIN IN ITEM 25 OR ATTACH AN ADDITIONAL SHEET

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20. IS THE FIRM CURRENTLY CERTIFIED WITH OTHER PUBLIC/FEDERAL/STATE AGENCIES?

- YES - ATTACH COPY OF CERTIFICATION       NO

|                   |                 |
|-------------------|-----------------|
| CERTIFYING AGENCY | EXPIRATION DATE |
| PHONE NO.         |                 |

**INDICATE EACH DOCUMENT SUBMITTED WITH A CHECK MARK**

21. THE FOLLOWING DOCUMENTS AND ANY AMENDMENTS ARE REQUIRED BY ALL COMPANIES:  
(FOR EXPLANATIONS OF EACH DOCUMENT, PLEASE REFER TO THE ENCLOSED INSTRUCTION SHEETS.)

YOU MUST SUBMIT ALL DOCUMENTATION APPLICABLE TO YOUR FIRM. IF NOT APPLICABLE, PLEASE EXPLAIN IN ITEM 25 OR ON A SEPARATE SHEET. FAILURE TO PROVIDE APPLICABLE INFORMATION MAY RESULT IN CLOSURE OF THE FILE.

- (1) FEDERAL TAX FORM (1040 OR 1065-K1 OR 1120S AND 4562) AND ALL SCHEDULES FOR LAST THREE YEARS EACH PRINCIPAL MUST ALSO SUBMIT PERSONAL TAX FORMS.
- (2) COPIES OF 3 PROPOSALS OR CONTRACTS.
- (3) BANK SIGNATURE CARD OR LETTER FROM BANK INDICATING WHO IS AUTHORIZED TO SIGN ON FIRMS ACCOUNT.
- (4) RESUME OF ALL INDIVIDUALS LISTED IN ITEMS 2, 8, 9, 10, AND 11 SHOWING EDUCATION, TRAINING AND EMPLOYMENT WITH DATES.
- (5) CURRENT DUTY STATEMENT OF DAY TO DAY ACTIVITIES OF INDIVIDUALS LISTED IN ITEMS 2, 8, 9, 10, 11 AND OF KEY EMPLOYEES.
- (6) A LIST OF MAJOR EQUIPMENT OWNED TO PERFORM ESSENTIAL FUNCTIONS OF YOUR BUSINESS.
- (7) PROPERTY RENTAL AND LEASE AGREEMENTS.
- (8) PROOF OF INITIAL BUSINESS CAPITALIZATION.
- (9) COPIES OF LAST 4 QUARTERLY WAGE AND WITHHOLDING REPORTS (DE-6s).
- (10) COPIES OF ALL APPLICABLE LICENSE(S) OR PERMIT(S) AS LISTED IN ITEM #8.
- (11) IF APPLICABLE, A COMPLETE COPY OF ANY EXISTING TRUSTS.
- (12) FICTITIOUS BUSINESS NAME STATEMENT.

22. THE FOLLOWING DOCUMENTS ARE REQUIRED FOR THE FOLLOWING BUSINESS TYPES:

**PARTNERSHIPS**

- (1) PARTNERSHIP AGREEMENTS.
- (2) BYLAWS AND ALL AMENDMENTS.
- (3) MINUTES OF ORIGINAL PARTNERSHIP MEETING AND MINUTES FROM THE LAST 3 YEARS.

**CORPORATION**

- (1) ARTICLES OF INCORPORATION AND AMENDMENTS.
- (2) BYLAWS AND ALL AMENDMENTS.
- (3) COPIES OF ALL STOCK CERTIFICATES (*NO SAMPLES*), STOCK TRANSFER LEDGERS, PROOF OF STOCK PURCHASE.
- (4) IF A FOREIGN CORPORATION, COPY OF AUTHORITY TO DO BUSINESS IN CALIFORNIA.
- (6) ALL MINUTES OF THE BOARD OF DIRECTOR'S MEETINGS FOR THE LAST THREE (3) YEARS AND THE FIRST ORGANIZATIONAL MEETING MINUTES.
- (5) STATEMENT BY DOMESTIC STOCK CORPORATION.

**LIMITED LIABILITY COMPANY**

- (1) ARTICLES OF ORGANIZATION AND ALL AMENDMENTS OR RESTATEMENTS.
- (2) OPERATING AGREEMENT AND ALL AMENDMENTS.
- (3) STATEMENT OF INFORMATION (CERTIFIED COPY FILED WITH SECRETARY OF STATE).
- (4) PROOF OF REGISTRATION AS A FOREIGN LIMITED LIABILITY (IF APPLICABLE).
- (5) CALIFORNIA TAX FORM 568, LIMITED LIABILITY COMPANY RETURN OF INCOME FOR LAST THREE TAX YEARS WITH ALL SCHEDULES.
- (6) PROOF OF FEES PAID TO FRANCHISE TAX BOARD AND/OR SECRETARY OF STATE.

23. TRUCKER

- (1) DEPARTMENT OF MOTOR VEHICLE REGISTRATION FOR TRUCK(S) OWNED.
- (2) PUBLIC LIABILITY AND PROPERTY DAMAGE INSURANCE COVERAGE.

24. SUPPLIERS

- (1) LIST OF MANUFACTURES, INCLUDING PHONE NUMBER.
- (2) INVENTORY LIST AND ADDRESS OF STORAGE SITE.
- (3) EXPLAIN HOW SUPPLIES ARE PACKAGED AND SHIPPED TO CONTRACTORS.

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25. USE THIS SPACE TO EXPLAIN ANY OF THE ABOVE ITEMS. YOU MAY ATTACH ADDITIONAL SHEETS IF NEEDED.

26. AREA(S) OF THE STATE YOU WISH TO BE CONSIDERED FOR WORK. SELECT ALL COUNTIES WHERE YOU ARE WILLING TO PERFORM WORK.

- |  |   |                                       |   |   |                                      |
|--|---|---------------------------------------|---|---|--------------------------------------|
| <input type="checkbox"/> 01 ALAMEDA      | <input type="checkbox"/> 11 GLENN       | <input type="checkbox"/> 21 MARIN     | <input type="checkbox"/> 31 PLACER          | <input type="checkbox"/> 41 SAN MATEO     | <input type="checkbox"/> 51 SUTTER   |
| <input type="checkbox"/> 02 ALPINE       | <input type="checkbox"/> 12 HUMBOLDT    | <input type="checkbox"/> 22 MARIPOSA  | <input type="checkbox"/> 32 PLUMAS          | <input type="checkbox"/> 42 SANTA BARBARA | <input type="checkbox"/> 52 TEHAMA   |
| <input type="checkbox"/> 03 AMADOR       | <input type="checkbox"/> 13 IMPERIAL    | <input type="checkbox"/> 23 MENDOCINO | <input type="checkbox"/> 33 RIVERSIDE       | <input type="checkbox"/> 43 SANTA CLARA   | <input type="checkbox"/> 53 TRINITY  |
| <input type="checkbox"/> 04 BUTTE        | <input type="checkbox"/> 14 INYO        | <input type="checkbox"/> 24 MERCED    | <input type="checkbox"/> 34 SACRAMENTO      | <input type="checkbox"/> 44 SANTA CRUZ    | <input type="checkbox"/> 54 TULARE   |
| <input type="checkbox"/> 05 CALAVERAS    | <input type="checkbox"/> 15 KERN        | <input type="checkbox"/> 25 MODOC     | <input type="checkbox"/> 35 SAN BENITO      | <input type="checkbox"/> 45 SHASTA        | <input type="checkbox"/> 55 TUOLUMNE |
| <input type="checkbox"/> 06 COLUSA       | <input type="checkbox"/> 16 KINGS       | <input type="checkbox"/> 26 MONO      | <input type="checkbox"/> 36 SAN BERNARDINO  | <input type="checkbox"/> 46 SIERRA        | <input type="checkbox"/> 56 VENTURA  |
| <input type="checkbox"/> 07 CONTRA COSTA | <input type="checkbox"/> 17 LAKE        | <input type="checkbox"/> 27 MONTEREY  | <input type="checkbox"/> 37 SAN DIEGO       | <input type="checkbox"/> 47 SISKIYOU      | <input type="checkbox"/> 57 YOLO     |
| <input type="checkbox"/> 08 DEL NORTE    | <input type="checkbox"/> 18 LASSEN      | <input type="checkbox"/> 28 NAPA      | <input type="checkbox"/> 38 SAN FRANCISCO   | <input type="checkbox"/> 48 SOLANO        | <input type="checkbox"/> 58 YUBA     |
| <input type="checkbox"/> 09 EL DORADO    | <input type="checkbox"/> 19 LOS ANGELES | <input type="checkbox"/> 29 NEVADA    | <input type="checkbox"/> 39 SAN JOAQUIN     | <input type="checkbox"/> 49 SONOMA        |                                      |
| <input type="checkbox"/> 10 FRESNO       | <input type="checkbox"/> 20 MADERA      | <input type="checkbox"/> 30 ORANGE    | <input type="checkbox"/> 40 SAN LUIS OBISPO | <input type="checkbox"/> 50 STANISLAUS    |                                      |

27. TYPE OF WORK PERFORMED. ENTER THE SIX DIGIT NAICS CODE INDICATING WORK YOUR FIRM HAS THE ABILITY TO PERFORM.  
(SEE WORK & COUNTY CODE SUPPLEMENT)

|  |  |  |  |  |  |
|--|--|--|--|--|--|
|  |  |  |  |  |  |
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|  |  |  |  |  |  |
|  |  |  |  |  |  |

**IMPORTANT: YOU MUST NOT INDICATE WORK CODES FOR WORK YOUR FIRM DOES NOT HAVE THE ABILITY TO PERFORM.**

**MINORITY AND WOMEN BUSINESS ENTERPRISE APPLICATION**

**AFFIDAVIT**

"The undersigned swears, under penalty of perjury, that the foregoing statements are correct and true and include all material information necessary to identify and explain the operations of \_\_\_\_\_ (Name of Firm) as well as the ownership thereof.

The undersigned also states that he or she is properly authorized by \_\_\_\_\_ to execute the affidavit and does so as his or her free act and deed. Further the undersigned swears, under penalty of perjury, that the applicant, and any other individual who constitutes the Minority/Women Business Enterprise, are members of a group that is presumed to be socially and economically disadvantaged, as defined in 49 CFR Part 23.53. Any material misrepresentation will be grounds for removing your firm from the Minority/Women Business Enterprise Program, terminating any contract which has or may be awarded to your firm and for initiating action under Federal and State laws concerning false statements.

|              |           |  |
|--------------|-----------|--|
| Printed Name | Signature |  |
| Title        | Date      |  |

**NOTARY**

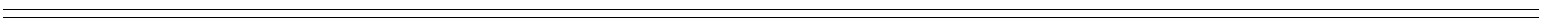
The foregoing affidavit was subscribed and sworn to before me on this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_ by \_\_\_\_\_

**SEAL**

Notary Public \_\_\_\_\_

Commission Expires \_\_\_\_\_

Mail completed questionnaire to:  
**City of Redding, Housing Division**  
777 Cypress Avenue  
Redding, CA 96001



## CERTIFICATION APPLICATION INSTRUCTIONS

### **IMPORTANT**

1. Complete **each question in full**. If additional explanations are needed, please address these in detail. Be sure to attach the requested documentation and label accordingly.
2. Indicate non-applicable items by using "N/A". If a requested document is not applicable to your firm, please explain why on a separate sheet of paper.
3. Every question **must** be filled in with the appropriate answer or "N/A". It is the applicants responsibility to ensure a complete application is received by Caltrans before a determination can be made.
4. Do not cut your statements short. If sufficient space is not provided, attach additional pages. It is better to supply too much rather than not enough information.
5. Application must be **notarized**, **signed**, and **dated**.

# CERTIFICATION APPLICATION INSTRUCTIONS

## INSTRUCTIONS

### Question #1

The authorized/registered legal name of the firm and address of the physical location of the company. This must include all DBA's of the firm. Please include a mailing address if different than the company location. A Post Office Box Number alone is not acceptable. Additional offices should be listed on a separate attachment.

### Question #2

Person(s) who own(s) the majority interest in the firm and their Social Security Number(s).

### Question #3

Business phone number, including the area code.

### Question #4

Provide information as requested.

### Question #5

Check the appropriate group membership box for the person or persons who have a controlling ownership interest in the firm.  
**Note:** Group membership cannot be claimed based solely upon being born in a certain country.

Citizens of the United States or lawfully admitted permanent residents who are women, Black Americans, Hispanic Americans, Native Americans, Asian-Pacific Americans, Subcontinent Asian Americans, or other minorities found to be disadvantaged by the Small Business Administration (SBA), are **rebuttably** presumed to be socially and economically disadvantaged.

**IMPORTANT:** However, if we have **any** reason to question whether an individual is a member of a group that is presumed to be socially and economically disadvantaged, the individual **must** demonstrate by a preponderance of the evidence that he or she is a member of that group.

### Question #6

Check the appropriate box, and indicate the date your firm was established and/or incorporated.

### Question #7

Indicate the nature of your firm's business, e.g., fencing, paving, equipment rental, etc.

### Question #8

Provide the requested information regarding current licenses (e.g., contractor, engineer, architect, etc.) and attach a copy of each license. If the qualifying individual is not one of the minority or women owners listed in Questions 2, 10, or 11, please explain in # 25.

# CERTIFICATION APPLICATION INSTRUCTIONS

## **Question #9**

List the individuals responsible for the day-to-day management, policy and decision making areas indicated. If more than one, please indicate. Include resumes and duty statements for all principals.

## **Question #10**

Provide information if applicable.

## **Question #11**

Provide information as requested for partnerships and corporations and Limited Liability Companies.

## **Question #12**

Identify officers with corresponding titles and other information requested.

## **Question #13**

Provide information requested. Use additional paper if necessary.

## **Question #14**

Identify the current Board of Directors with other information requested. If the Board of Directors has changed within the last three years, list all directors for the last three years, including their names, group membership, and date elected in Item 25 or attach additional sheets.

## **Question #15**

Provide information requested.

## **Question #16**

List all equipment owned by your firm. Indicate approximate market value.

## **Question #17**

Provide information requested.

**IMPORTANT:** The Small Business Administration has established size criteria for small businesses. The criteria varies according to your firm's primary business classification. If your firm's average gross receipts for the previous three fiscal years exceeds these size criteria, then your firm is not eligible for the SDBE/SWBE program.

# CERTIFICATION APPLICATION INSTRUCTIONS

## **Question#18**

Identify all sources of loans made to the firm, amount loaned, date loan is due, and unpaid balance. Attach copies of the promissory note(s) and any other related documents outlining terms and conditions of the loan(s).

## **Question #19**

Provide information as requested. If the answer to 19(a) or 19(b) is yes, explain in Item 25 or attach a separate sheet.

## **Question #20**

Provide information requested. If you answered yes to either questions, you must submit a copy of your certification. If you are an out of state firm you must submit a copy of your home state M/WBE certification.

## **Question #21**

These documents are required by all firms and must be submitted with the application. Failure to submit this information may result in closure of your file. If any of the documents are not included in the certification package, please indicate the reason for the omission.

- 1) Make sure to include all documents.
- 2) Provide documents indicated.
- 3) Provide information as required. A letter from the bank must include the authorized signatories and the required number of signatures.
- 4) Resumes for each principal, owner, or partner should include all jobs and positions held in the past and to date, the general description of their duties, the dates of employment or ownership, and the name of the employing company.
- 5) Provide current duties within the firm.
- 6) Provide copies of rental, lease, and/or purchase agreements or receipts for equipment that are used in the pursuit of business or are used by the firm's principals or personnel as a business practice. Include itemized list of major equipment you own.
- 7) Provide copies of property rental, lease and/or purchase agreements and/or receipts which are used in the pursuit of business or are used by the firm's principals or personnel as a business practice.
- 8) Provide proof of majority owner(s) initial capitalization. Please indicate how he/she acquired assets to purchase controlling interest in the firm, as demonstrated by, but not limited to, inheritance, loans, experience, or savings. Provide supporting documentation.
- 9) Provide documents indicated.
- 10) Provide documents indicated.
- 11) Provide documents indicated.
- 12) Provide documents indicated.

# CERTIFICATION APPLICATION INSTRUCTIONS

## **Question #22**

The following documents are required for the following types of business, in addition to those documents listed below.

### PARTNERSHIPS -

- (1) Self explanatory.
- (2) Copy of the firm's by-laws and any amendments or resolutions including, but not limited to, buy-out rights, meeting minutes, promissory notes, etc.
- (3) Provide documents indicated.

### CORPORATIONS -

- (1) - (2) Copy of firm's Articles of Incorporation, Bylaws, and any other amendments or resolutions including, but not limited to, stock/ownership options, stockholders agreements, buy-out rights, all minutes of the Board of Director's meetings for the last three (3) years and the first organizational meeting minutes, stockholder voting rights, promissory notes, etc.
- (3) Copies of all stock certificates, transfer ledgers, and proof of purchase(s) issued to date.
- (4) - (6) Provide all documents as required.

### LIMITED LIABILITY COMPANIES

- (1) Provide documents indicated.

## **Question #23**

Provide information as required.

## **Question #24**

Provide information indicated.

## **Question #25**

This space is for explanations or other added information regarding previous questions.

## **Question #26**

Indicate counties where your firm is willing to work.

## **Question #27**

Enter work codes, using the enclosed listing.

**IMPORTANT:** You must not indicate work codes for work your firm does not have the ability to perform.

# CERTIFICATION APPLICATION INSTRUCTIONS

## REQUIRED DOCUMENTS

All applicable documentation must be submitted. Please provide explanations in Item #25 or on a separate sheet of paper as indicated in the instructions. Failure to provide applicable information may result in closure of your file.

- (1) Federal Tax Forms (1040, 1065-K1 and 1120S), signed, and all schedules for the firm for the previous three years. Each principal must also submit W2's, 1099's, and Personal Tax Forms, for the past previous three years.
- (2) Copies of the last three (3) completed contracts or proposals, including contact persons.
- (3) Bank signature card or letter from your bank indicating authorized signers and number of signatures required.
- (4) Resumes of all principals, owners, and partners showing education, training and employment with dates and a description of the duties performed. Also, indicate all professional affiliations.
- (5) Current duty statement of day-to-day activities of all principals, owners, partners, and key employees.
- (6) A list of major equipment owned.
- (7) Property rental or lease agreements (*complete copy*).
- (8) Proof of capitalization. The documentation must include initial capitalization, sources of all funds and an explanation of how the ownership was obtained by the majority owner(s).
- (9) State Quarterly Wage and Withholding Reports for the last 4 quarters.
- (10) Copies of all applicable licenses or permits.
- (11) If applicable, a complete copy of any existing Trusts.
- (12) Fictitious Business Name Statement.

## **CERTIFICATION APPLICATION INSTRUCTIONS**

The following documents are required for the following business types:

### **Partnerships**

- (1) Partnership agreements and all amendments.
- (2) Bylaws and all amendments.
- (3) Minutes of partnership meetings for last three years if applicable.

### **Corporations**

- (1) Articles of Incorporation and all amendments.
- (2) Bylaws and all amendments.
- (3) Issued stock certificates (no samples) and completed stock transfer ledger. Proof of stock purchase.
- (4) Authority To Do Business in California if a foreign corporation.
- (5) All minutes of meetings of the Board of Directors for the last 3 years.
- (6) Initial Statement by Domestic Stock Corporation and all subsequent statements through the current year.

### **Limited Liability Companies**

- (1) Articles of Organization and all amendments or restatements.
- (2) Operating Agreement and all amendments.
- (3) Statement of Information (certified copy filed with Secretary of State).
- (4) Proof of Registration as a Foreign Limited Liability (if applicable).
- (5) California Tax Form 568, Limited Liability Company Return of Income for last three tax years with all schedules.
- (6) Proof of fees paid to Franchise Tax Board and/or Secretary of State.

### **Truckers**

- (1) Department of Motor Vehicle Registration.
- (2) Public Liability and Property Damage Insurance Coverage.

### **Suppliers**

- (1) List of manufacturers, including phone number.
- (2) Inventory list and address of storage site.
- (3) Explanation of how supplies are packaged and shipped to contractors.



Dear Business Owner:

Please use the attached list of NAICS Codes when identifying the type of work your company performs.

County codes are listed below.

|    |              |    |                 |    |               |
|----|--------------|----|-----------------|----|---------------|
| 01 | ALAMEDA      | 21 | MARIN           | 41 | SAN MATEO     |
| 02 | ALPINE       | 22 | MARIPOSA        | 42 | SANTA BARBARA |
| 03 | AMADOR       | 23 | MENDOCINO       | 43 | SANTA CLARA   |
| 04 | BUTTE        | 24 | MERCED          | 44 | SANTA CRUZ    |
| 05 | CALAVERAS    | 25 | MODOC           | 45 | SHASTA        |
| 06 | COLUSA       | 26 | MONO            | 46 | SIERRA        |
| 07 | CONTRA COSTA | 27 | MONTEREY        | 47 | SISKIYOU      |
| 08 | DEL NORTE    | 28 | NAPA            | 48 | SOLANO        |
| 09 | EL DORADO    | 29 | NEVADA          | 49 | SONOMA        |
| 10 | FRESNO       | 30 | ORANGE          | 50 | STANISLAUS    |
| 11 | GLENN        | 31 | PLACER          | 51 | SUTTER        |
| 12 | HUMBOLDT     | 32 | PLUMAS          | 52 | TEHAMA        |
| 13 | IMPERIAL     | 33 | RIVERSIDE       | 53 | TRINITY       |
| 14 | INYO         | 34 | SACRAMENTO      | 54 | TULAR         |
| 15 | KERN         | 35 | SAN BENITO      | 55 | TUOLUMNEE     |
| 16 | KINGS        | 36 | SAN BERNARDINO  | 56 | VENTURA       |
| 17 | LAKE         | 37 | SAN DIEGO       | 57 | YOLO          |
| 18 | LASSEN       | 38 | SAN FRANCISCO   | 58 | YUBA          |
| 19 | LOS ANGELES  | 39 | SAN JOAQUIN     |    |               |
| 20 | MADERA       | 40 | SAN LUIS OBISPO |    |               |

**List of NAICS Codes (partial)**

**110000    *Agriculture, Forestry, Fishing and Hunting***

111000    Crop Production  
 112000    Animal Production  
 113000    Forestry and Logging  
 114000    Fishing, Hunting and Trapping  
 115000    Support Activities for Agriculture and Forestry

**210000    *Mining***

211000    Oil and Gas Extraction  
 212000    Mining (except Oil and Gas)  
 213000    Support Activities for Mining

**220000    *Utilities***

221110    Hydroelectric, Fossil Fuel, Nuclear and Other Electric Power Generation  
 221120    Electric Power Transmission, Control and Distribution  
 221310    Water Supply and Irrigation Systems

**230000    *Construction\****

236000    Construction of Buildings  
 236115    New Single-Family Housing Construction (except Operative Builders)  
 236116    New Multifamily Housing Construction (except Operative Builders)  
 236117    New Housing Operative Builders  
 236118    Residential Remodelers  
 236210    Industrial Building Construction  
 236220    Commercial and Institutional Building Construction  
 237000    Heavy and Civil Engineering Construction  
 237110    Water and Sewer Line and Related Structures Construction  
 237120    Oil and Gas Pipeline and Related Structures Construction  
 237130    Power and Communication Line and Related Structures Construction  
 237210    Land Subdivision  
 237310    Highway, Street, and Bridge Construction  
 237990    Other Heavy and Civil Engineering Construction  
 237990    Dredging and Surface Cleanup Activities  
 238000    Specialty Trade Contractors  
 238110    Poured Concrete Foundation and Structure Contractors  
 238120    Structural Steel and Precast Concrete Contractors  
 238130    Framing Contractors  
 238140    Masonry Contractors  
 238150    Glass and Glazing Contractors  
 238160    Roofing Contractors  
 238170    Siding Contractors  
 238190    Other Foundation, Structure and Building Exterior Contractors  
 238210    Electrical Contractors  
 238220    Plumbing, Heating, and Air-Conditioning Contractors  
 238290    Other Building Equipment Contractors  
 238310    Drywall and Insulation Contractors  
 238320    Painting and Wall Covering Contractors  
 238330    Flooring Contractors  
 238340    Tile and Terrazzo Contractors  
 238350    Finish Carpentry Contractors  
 238390    Other Building Finishing Contractors  
 238910    Site Preparation Contractors  
 238990    All Other Specialty Trade Contractors  
 238990    Building and Property Specialty Trade Services

**310000    *Manufacturing***

**339999**  
 311000    Food Manufacturing  
 312000    Beverage and Tobacco Product Manufacturing  
 313000    Textile Mills  
 314000    Textile Product Mills  
 315000    Apparel Manufacturing  
 315211    Men's and Boys' Cut and Sew Apparel Contractors  
 315212    Women's, Girls', and Infants' Cut and Sew Apparel Contractors  
 315220    Men's and Boys' Cut and Sew Apparel Manufacturing  
 315230    Women's and Girls' Cut and Sew Apparel Manufacturing  
 315299    All Other Cut and Sew Apparel Manufacturing  
 315999    Other Apparel Accessories and Other Apparel Manufacturing  
 316000    Leather and Allied Product Manufacturing  
 316211    Rubber and Plastics Footwear Manufacturing  
 316213    Men's Footwear (except Athletic) Manufacturing  
 316214    Women's Footwear (except Athletic) Manufacturing  
 316219    Other Footwear Manufacturing  
 321000    Wood Product Manufacturing  
 322000    Paper Manufacturing  
 323000    Printing and Related Support Activities  
 323110    Commercial Lithographic Printing  
 323111    Commercial Gravure Printing  
 323112    Commercial Flexographic Printing  
 323113    Commercial Screen Printing  
 323114    Quick Printing  
 323115    Digital Printing  
 323116    Manifold Business Forms Printing  
 323117    Books Printing  
 323118    Blankbook, Loose-leaf Binder and Device Manufacturing  
 323119    Other Commercial Printing  
 323121    Tradebinding and Related Work  
 323122    Prepress Services  
 324000    Petroleum and Coal Products Manufacturing  
 324121    Asphalt Paving Mixture and Block Manufacturing  
 324122    Asphalt Shingle and Coating Materials Manufacturing  
 325000    Chemical Manufacturing  
 326000    Plastics and Rubber Products Manufacturing  
 326211    Tire Manufacturing (except Retreading)  
 326212    Tire Retreading  
 326220    Rubber and Plastics Hoses and Belting Manufacturing  
 326291    Rubber Product Manufacturing for Mechanical Use  
 326299    All Other Rubber Product Manufacturing  
 327000    Nonmetallic Mineral Product Manufacturing  
 331000    Primary Metal Manufacturing  
 332000    Fabricated Metal Product Manufacturing  
 332116    Metal Stamping  
 332322    Sheet Metal Work Manufacturing  
 332323    Ornamental and Architectural Metal Work Manufacturing  
 332710    Machine Shops  
 332721    Precision Turned Product Manufacturing  
 332996    Fabricated Pipe and Pipe Fitting Manufacturing  
 333000    Machinery Manufacturing  
 333120    Construction Machinery Manufacturing  
 333311    Automatic Vending Machine Manufacturing  
 333313    Office Machinery Manufacturing

\* Note: Evidence of State licensing is required in order to be classified in this industry.

## List of NAICS Codes (partial)

|        |  |               |   |
|--------|--|---------------|---|
| 333414 | Heating Equipment (except Warm Air Furnaces) Manufacturing   | 336411        | Aircraft Manufacturing  |
| 333415 | Air-Conditioning and Warm Air Heating Equipment and Commercial and Industrial Refrigeration Equipment Manufacturing    | 336510        | Railroad Rolling Stock Manufacturing  |
| 333514 | Special Die and Tool, Die Set, Jig and Fixture Manufacturing   | 336611        | Ship Building and Repairing   |
| 333613 | Mechanical Power Transmission Equipment Manufacturing  | 336991        | Motorcycle, Bicycle and Parts Manufacturing   |
| 333618 | Other Engine Equipment Manufacturing   | 336999        | All Other Transportation Equipment Manufacturing  |
| 333911 | Pump and Pumping Equipment Manufacturing   | 337000        | Furniture and Related Product Manufacturing   |
| 333921 | Elevator and Moving Stairway Manufacturing   | 337127        | Institutional Furniture Manufacturing   |
| 333922 | Conveyor and Conveying Equipment Manufacturing   | 337211        | Wood Office Furniture Manufacturing   |
| 333923 | Overhead Traveling Crane, Hoist and Monorail System Manufacturing Generation   | 337214        | Office Furniture (Except Wood) Manufacturing  |
| 333924 | Industrial Truck, Tractor, Trailer and Stacker Machinery Manufacturing   | 337215        | Showcase, Partition, Shelving, and Locker Manufacturing   |
| 334000 | Computer and Electronic Product Manufacturing  | 337920        | Blind and Shade Manufacturing   |
| 334111 | Electronic Computer Manufacturing  | 339000        | Miscellaneous Manufacturing   |
| 334112 | Computer Storage Device Manufacturing  | 339111        | Laboratory Apparatus and Furniture Manufacturing  |
| 334113 | Computer Terminal Manufacturing  | 339950        | Sign Manufacturing  |
| 334119 | Other Computer Peripheral Equipment Manufacturing  | 339991        | Gasket, Packing, and Sealing Device Manufacturing   |
| 334210 | Telephone Apparatus Manufacturing  |               |   |
| 334220 | Radio and Television Broadcasting and Wireless Communications Equipment Manufacturing                                  | <b>420000</b> | <b>Wholesale Trade</b>  |
| 334290 | Other Communications Equipment Manufacturing   | 423000        | Merchant Wholesalers, Durable Goods   |
| 334310 | Audio and Video Equipment Manufacturing  | 423110        | Automobile and Other Motor Vehicle Merchant Wholesalers   |
| 334417 | Electronic Connector Manufacturing   | 423120        | Motor Vehicle Supplies and New Parts Merchant Wholesalers                                       |
| 334418 | Printed Circuit Assembly (Electronic Assembly) Manufacturing   | 423130        | Tire and Tube Merchant Wholesalers  |
| 334419 | Other Electronic Component Manufacturing   | 423140        | Motor Vehicle Parts (Used) Merchant Wholesalers   |
| 334511 | Search, Detection, Navigation, Guidance, Aeronautical, and Nautical System and Instrument Manufacturing                | 423210        | Furniture Merchant Wholesalers  |
| 334512 | Automatic Environmental Control Manufacturing for Residential, Commercial and Appliance Use                            | 423210        | Lumber, Plywood, Millwork, and Wood Panel Merchant Wholesalers                                  |
| 334513 | Instruments and Related Products Manufacturing for Measuring, Displaying, and Controlling Industrial Process Variables | 423320        | Brick, Stone, and Related Construction Material Merchant Wholesalers                            |
| 334514 | Totalizing Fluid Meter and Counting Device Manufacturing   | 423330        | Roofing, Siding, and Insulation Material Merchant Wholesalers                                   |
| 334518 | Watch, Clock, and Part Manufacturing   | 423390        | Other Construction Material Merchant Wholesalers  |
| 334519 | Other Measuring and Controlling Device Manufacturing   | 423410        | Photographic Equipment and Supplies Merchant Wholesalers  |
| 334611 | Software Reproducing   | 423420        | Office Equipment Merchant Wholesalers   |
| 334612 | Prerecorded Compact Disc (except Software), Tape, and Record Reproducing   | 423430        | Computer and Computer Peripheral Equipment and Software Merchant Wholesalers                    |
| 334613 | Magnetic and Optical Recording Media Manufacturing   | 423440        | Other Commercial Equipment Merchant Wholesalers   |
| 335000 | Electrical Equipment, Appliance and Component Manufacturing  | 423450        | Medical, Dental, and Hospital Equipment and Supplies Merchant Wholesalers                       |
| 336000 | Transportation Equipment Manufacturing   | 423490        | Other Professional Equipment and Supplies Merchant Wholesalers                                  |
| 336112 | Light Truck and Utility Vehicle Manufacturing  | 423510        | Metal Service Centers and Other Metal Merchant Wholesalers                                      |
| 336120 | Heavy Duty Truck Manufacturing   | 423610        | Electrical Apparatus and Equipment, Wiring Supplies, and Related Equipment Merchant Wholesalers |
| 336211 | Motor Vehicle Body Manufacturing   | 423620        | Electrical and Electronic Appliance, Television, and Radio Set Merchant Wholesalers             |
| 336212 | Truck Trailer Manufacturing  | 423690        | Other Electronic Parts and Equipment Merchant Wholesalers                                       |
| 336311 | Carburetor, Piston, Piston Ring and Valve Manufacturing  | 423710        | Hardware Merchant Wholesalers   |
| 336312 | Gasoline Engine and Engine Parts Manufacturing   | 423720        | Plumbing and Heating Equipment and Supplies (Hydronics) Merchant Wholesalers                    |
| 336321 | Vehicular Lighting Equipment Manufacturing   | 423730        | Warm Air Heating and Air-Conditioning Equipment and Supplies Merchant Wholesalers               |
| 336322 | Other Motor Vehicle Electrical and Electronic Equipment Manufacturing  | 423740        | Refrigeration Equipment and Supplies Merchant Wholesalers                                       |
| 336330 | Motor Vehicle Steering and Suspension Components (except Spring) Manufacturing   | 423810        | Construction and Mining (except Oil Well) Machinery and Equipment Merchant Wholesalers          |
| 336340 | Motor Vehicle Brake System Manufacturing   | 423820        | Farm and Garden Machinery and Equipment Merchant Wholesalers                                    |
| 336350 | Motor Vehicle Transmission and Power Train Parts Manufacturing   | 423830        | Industrial Machinery and Equipment Merchant Wholesalers   |
| 336360 | Motor Vehicle Seating and Interior Trim Manufacturing  | 423840        | Industrial Supplies Merchant Wholesalers  |
| 336370 | Motor Vehicle Metal Stamping   | 423850        | Service Establishment Equipment and Supplies Merchant Wholesalers                               |
| 336391 | Motor Vehicle Air-Conditioning Manufacturing   | 423860        | Transportation Equipment and Supplies (except Motor Vehicle) Merchant Wholesalers               |
| 336399 | All Other Motor Vehicle Parts Manufacturing  | 423930        | Recyclable Material Merchant Wholesalers  |
|        |  | 423940        | Other Miscellaneous Durable Goods Merchant Wholesalers  |

## List of NAICS Codes (partial)

|        |  |        |   |
|--------|--|--------|---|
| 424000 | Merchant Wholesalers, Nondurable Goods   | 446000 | Health and Personal Care Stores               |
| 424110 | Printing and Writing Paper Merchant Wholesalers  | 447000 | Gasoline Stations                             |
| 424120 | Stationary and Office Supplies Merchant Wholesalers  | 448000 | Clothing and Clothing Accessories Stores      |
| 424130 | Industrial and Personal Service Paper Merchant Wholesalers                                 | 448110 | Men's Clothing Stores                         |
| 424210 | Drugs and Druggists' Sundries Merchant Wholesalers   | 448120 | Women's Clothing Stores                       |
| 424310 | Piece Goods, Notions, and Other Dry Goods Merchant Wholesaler                              | 448130 | Children's and Infants Clothing Stores        |
| 424320 | Men's and Boy's Clothing and Furnishings Merchant Wholesalers                              | 448140 | Family Clothing Stores                        |
| 424330 | Women's, Children's and Infant's Clothing and Accessories Merchant Wholesalers             | 448150 | Clothing Accessories Stores                   |
| 424340 | Footwear Merchant Wholesalers  | 448190 | Other Clothing Stores                         |
| 424410 | General Line Grocery Merchant Wholesalers  | 448210 | Shoe Stores                                   |
| 424420 | Packaged Frozen Food Merchant Wholesalers  | 448320 | Luggage and Leather Goods Stores              |
| 424490 | Other Grocery and Related Products Merchant Wholesalers                                    | 451000 | Sporting Goods, Hobby, Book, and Music Stores |
| 424610 | Plastics Materials and Basic Forms and Shapes Merchant Wholesalers                         | 451211 | Book Stores                                   |
| 424690 | Other Chemical and Allied Products Merchant Wholesalers                                    | 451212 | News Dealers and Newsstands                   |
| 424710 | Petroleum Bulk Stations and Terminals  | 452000 | General Merchandise Store                     |
| 424720 | Petroleum and Petroleum Products Merchant Wholesalers (except Bulk Stations and Terminals) | 453000 | Miscellaneous Store Retailers                 |
| 424920 | Book, Periodical, and Newspaper Merchant Wholesalers                                       | 453110 | Florists                                      |
| 424930 | Flower, Nursery Stock, and Florists' Supplies Merchant Wholesalers                         | 453210 | Office Supplies and Stationery Stores         |
| 424940 | Tobacco and Tobacco Product Merchant Wholesalers   | 453220 | Gift, Novelty and Souvenir Stores             |
| 424950 | Paint, Varnish, and Supplies Merchant Wholesalers  | 453310 | Used Merchandise Stores                       |
| 424990 | Other Miscellaneous Nondurable Goods Merchant Wholesalers                                  | 454000 | Nonstore Retailers                            |
| 425000 | Wholesale Electronic Markets and Agents and Brokers  | 454111 | Electronic Shopping                           |
| 425110 | Business to Business Electronic Markets  | 454112 | Electronic Auctions                           |
| 425120 | Wholesale Trade Agents and Brokers   | 454113 | Mail-Order Houses                             |

**440000**

### Retail Trade

**459999**

|        |  |
|--------|--|
| 441000 | Motor Vehicle and Parts Dealers                          |
| 441110 | New Car Dealers  |
| 441120 | Used Car Dealers   |
| 441221 | Motorcycle Dealers                                       |
| 441222 | Boat Dealers   |
| 441229 | All Other Motor Vehicle Dealers                          |
| 441229 | Aircraft Dealers, Retail                                 |
| 441310 | Automotive Parts and Accessories Stores                  |
| 441320 | Tire Dealers   |
| 442000 | Furniture and Home Furnishings Stores                    |
| 442110 | Furniture Stores   |
| 442210 | Floor Covering Stores                                    |
| 442291 | Window Treatment Stores                                  |
| 442299 | All Other Home Furnishings Stores                        |
| 443000 | Electronics and Appliance Stores                         |
| 443111 | Household Appliance Stores                               |
| 443112 | Radio, Television and Other Electronics Stores           |
| 443120 | Computer and Software Stores                             |
| 443130 | Camera and Photographic Supplies Stores                  |
| 444000 | Building Material and Garden Equipment and Supplies Dirs |
| 444110 | Home Centers   |
| 444120 | Paint and Wallpaper Stores                               |
| 444130 | Hardware Stores  |
| 444190 | Other Building Material Dealers                          |
| 444210 | Outdoor Power Equipment Stores                           |
| 444220 | Nursery and Garden Centers                               |
| 445000 | Food and Beverage Stores                                 |

**480000**

### Transportation

**499999**

|        |   |
|--------|---|
| 481000 | Air Transportation  |
| 481111 | Scheduled Passenger Air Transportation                          |
| 481112 | Scheduled Freight Air Transportation                            |
| 481211 | Nonscheduled Chartered Passenger Air Transportation             |
| 481212 | Nonscheduled Chartered Freight Air Transportation               |
| 481219 | Other Nonscheduled Air Transportation                           |
| 482000 | Rail Transportation   |
| 483000 | Water Transportation  |
| 484000 | Truck Transportation  |
| 484110 | General Freight Trucking, Local                                 |
| 484121 | General Freight Trucking, Long-Distance, Truckload              |
| 484122 | General Freight Trucking, Long-Distance, Less Than Truckload    |
| 484210 | Used Household and Office Goods Moving                          |
| 484220 | Specialized Freight (except Used Goods) Trucking, Local         |
| 484230 | Specialized Freight (except Used Goods) Trucking, Long-Distance |
| 485000 | Transit and Ground Passenger Transportation                     |
| 485111 | Mixed Mode Transit Systems                                      |
| 485112 | Commuter Rail Systems   |
| 485113 | Bus and Motor Vehicle Transit Systems                           |
| 485119 | Other Urban Transit Systems                                     |
| 485210 | Interurban and Rural Bus Transportation                         |
| 485310 | Taxi Service  |
| 485320 | Limousine Service   |
| 485410 | School and Employee Bus Transportation                          |
| 485510 | Charter Bus Industry  |

\* Note: Evidence of State licensing is required in order to be classified in this industry.

(This document contains a partial list of NAICS codes. For a complete list of NAICS codes, please visit [www.ntis.gov/naics](http://www.ntis.gov/naics))

## List of NAICS Codes (partial)

|        |   |
|--------|---|
| 485991 | Special Needs Transportation                          |
| 485999 | All Other Transit and Ground Passenger Transportation |
| 486000 | Pipeline Transportation                               |
| 487000 | Scenic and Sightseeing Transportation                 |
| 488000 | Support Activities for Transportation                 |
| 488111 | Air Traffic Control                                   |
| 488119 | Other Airport Operations                              |
| 488190 | Other Support Activities for Air Transportation       |
| 488210 | Support Activities for Rail Transportation            |
| 488310 | Port and Harbor Operations                            |
| 488320 | Marine Cargo Handling                                 |
| 488390 | Other Support Activities for Water Transportation     |
| 488410 | Motor Vehicle Towing                                  |
| 488490 | Other Support Activities for Road Transportation      |
| 488510 | Freight Transportation Arrangement                    |
| 488991 | Packing and Crating                                   |
| 488999 | All Other Support Activities for Transportation       |
| 491000 | Postal Service  |
| 492000 | Couriers and Messengers                               |
| 492110 | Couriers  |
| 492210 | Local Messengers and Local Delivery                   |
| 493000 | Warehousing and Storage                               |
| 493110 | General Warehousing and Storage                       |
| 493120 | Refrigerated Warehousing and Storage                  |
| 493190 | Other Warehousing and Storage                         |

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### 510000 Information

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|        |  |
|--------|--|
| 511000 | Publishing Industries (except Internet)                                      |
| 511110 | Newspaper Publishers   |
| 511120 | Periodical Publishers  |
| 511130 | Book Publishers  |
| 511140 | Directory and Mailing List Publishers  |
| 511199 | All Other Publishers   |
| 511210 | Software Publishers  |
| 512110 | Motion Picture and Video Production  |
| 512191 | Teleproduction and Other Postproduction Services                             |
| 512199 | Other Motion Picture and Video Industries                                    |
| 512210 | Record Production  |
| 512220 | Intergrated Record Prodction/ Distribution                                   |
| 512240 | Sound Recording Studios  |
| 512290 | Other Sound Recording Industries   |
| 515000 | Broadcasting (except Internet)*  |
| 515111 | Radio Networks*  |
| 515112 | Radio Stations*  |
| 515120 | Television Broadcasting*   |
| 515210 | Cable and Other Subscription Programming                                     |
| 516000 | Internet Publishing and Broadcasting   |
| 516110 | Internet Publishing and Broadcasting   |
| 517000 | Telecommunications   |
| 517110 | Wired Telecommunications Carriers  |
| 517211 | Paging   |
| 517212 | Cellular and Other Wireless Telecommunications                               |
| 517310 | Telecommunications Resellers   |
| 517410 | Satellite Telecommunications   |
| 517510 | Cable and Other Program Distribution   |
| 517910 | Other Telecommunications   |
| 518000 | Internet Service Providers, Web Search Portals, and Data Processing Services |
| 518111 | Internet Service Providers   |

\* Note: Evidence of State licensing is required in order to be classified in this

|        |  |
|--------|--|
| 518112 | Web Search Portals                             |
| 518210 | Data Processing, Hosting, and Related Services |
| 519000 | Other Information Services                     |
| 519110 | News Syndicates                                |
| 519120 | Libraries and Archives                         |
| 519190 | All Other Information Services                 |

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### 520000 Finance and Insurance\*

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|        |   |
|--------|---|
| 522000 | Credit Intermediation and Related Activities                              |
| 522220 | Sales Financing   |
| 522291 | Consumer Lending  |
| 522292 | Real Estate Credit  |
| 522298 | All Other Non-Depository Credit Intermediation                            |
| 522310 | Mortgage and Nonmortgage Loan Brokers                                     |
| 522320 | Financial Transactions Processing, Reserve, and Clearing House Activities |
| 522390 | Other Activities Related to Credit Intermediation                         |
| 523000 | Financial Investments and Related Activities                              |
| 523110 | Investment Banking and Securities Dealing                                 |
| 523120 | Securities Brokerage  |
| 523130 | Commodity Contracts Dealing   |
| 523140 | Commodity Contracts Brokerage   |
| 523910 | Miscellaneous Intermediation  |
| 523920 | Portfolio Management  |
| 523930 | Investment Advice   |
| 523991 | Trust, Fiduciary and Custody Activities                                   |
| 523999 | Miscellaneous Financial Investment Activities                             |
| 524000 | Insurance Carriers and Related Activities                                 |
| 524113 | Direct Life Insurance Carriers  |
| 524114 | Direct Health and Medical Insurance Carriers                              |
| 524126 | Direct Property and Casualty Insurance Carriers                           |
| 524127 | Direct Title Insurance Carriers   |
| 524128 | Other Direct Insurance (except Life, Health and Medical) Carriers         |
| 524130 | Reinsurance Carriers  |
| 524210 | Insurance Agencies and Brokerages   |
| 524291 | Claims Adjusting  |
| 524292 | Third Party Administration of Insurance and Pension Funds                 |
| 524298 | All Other Insurance Related Activities                                    |
| 525000 | Funds, Trusts and Other Financial Vehicles                                |
| 525110 | Pension Funds   |
| 525120 | Health and Welfare Funds  |
| 525190 | Other Insurance Funds   |
| 525910 | Open-End Investment Funds   |
| 525920 | Trusts, Estates, and Agency Accounts                                      |
| 525930 | Real Estate Investment Trusts   |
| 525990 | Other Financial Vehicles  |

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### 530000 Real Estate and Rental and Leasing

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|        |   |
|--------|---|
| 531000 | Real Estate   |
| 531120 | Lessors of Nonresidential Buildings (except MiniWarehouses) |
| 531130 | Lessors of Miniwarehouses and Self Storage Units            |
| 531190 | Lessors of Other Real Estate Property                       |
| 531210 | Offices of Real Estate Agents and Brokers*                  |
| 531312 | Nonresidential Property Managers                            |
| 531320 | Offices of Real Estate Appraisers*                          |
| 531390 | Other Activities Related to Real Estate                     |
| 532000 | Rental and Leasing Services                                 |
| 532111 | Passenger Car Rental  |
| 532112 | Passenger Car Leasing                                       |

(This document contains a partial list of NAICS codes. For a complete list of NAICS codes, please visit [www.ntis.gov/naics](http://www.ntis.gov/naics))

## List of NAICS Codes (partial)

|        |  |
|--------|--|
| 532120 | Truck, Utility Trailer, and RV (Recreational Vehicle) Rental and Leasing     |
| 532210 | Consumer Electronics and Appliances Rental                                   |
| 532299 | All Other Consumer Goods Rental  |
| 532310 | General Rental Centers   |
| 532411 | Commercial Air, Rail, and Water Transportation Equipment Rental and Leasing  |
| 532412 | Construction, Mining and Forestry Machinery and Equipment Rental and Leasing |
| 532420 | Office Machinery and Equipment Rental and Leasing                            |
| 532490 | Other Commercial and Industrial Machinery and Equipment Rental and Leasing   |
| 533110 | Lessors of Nonfinancial Intangible Assets (except Copyrighted Works)         |

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### 540000 Professional, Scientific and Technical Services

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|        |  |
|--------|--|
| 541191 | Title Abstract and Settlement Offices                                    |
| 541110 | Offices of Lawyers*  |
| 541199 | All Other Legal Services   |
| 541211 | Offices of Certified Public Accountants*                                 |
| 541213 | Tax Preparation Services*  |
| 541214 | Payroll Services   |
| 541219 | Other Accounting Services  |
| 541310 | Architectural Services*  |
| 541320 | Landscape Architectural Services*  |
| 541330 | Engineering Services*  |
| 541340 | Drafting Services  |
| 541340 | Map Drafting   |
| 541350 | Building Inspection Services   |
| 541360 | Geophysical Surveying and Mapping Services*                              |
| 541370 | Surveying and Mapping (except Geophysical) Services*                     |
| 541380 | Testing Laboratories   |
| 541410 | Interior Design Services   |
| 541420 | Industrial Design Services   |
| 541430 | Graphic Design Services  |
| 541490 | Other Specialized Design Services  |
| 541511 | Custom Computer Programming Services                                     |
| 541512 | Computer Systems Design Services   |
| 541513 | Computer Facilities Management Services                                  |
| 541519 | Other Computer Related Services  |
| 541611 | Administrative Management and General Management Consulting Services     |
| 541612 | Human Resources and Executive Search Consulting Services                 |
| 541613 | Marketing Consulting Services  |
| 541614 | Process, Physical Distribution and Logistics Consulting Services         |
| 541618 | Other Management Consulting Services                                     |
| 541620 | Environmental Consulting Services  |
| 541690 | Other Scientific and Technical Consulting Services                       |
| 541710 | Research and Development in the Physical, Engineering, and Life Sciences |
| 541720 | Research and Development in the Social Sciences and Humanities           |
| 541810 | Advertising Agencies   |
| 541820 | Public Relations Agencies  |
| 541830 | Media Buying Agencies  |
| 541840 | Media Representatives  |
| 541850 | Display Advertising  |
| 541860 | Direct Mail Advertising  |
| 541870 | Advertising Material Distribution Services                               |

|        |   |
|--------|---|
| 541890 | Other Services Related to Advertising                     |
| 541910 | Marketing Research and Public Opinion Polling             |
| 541922 | Commercial Photography                                    |
| 541930 | Translation and Interpretation Services                   |
| 541990 | All Other Professional, Scientific and Technical Services |

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### 550000 Management of Companies and Enterprises

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|        |                                    |
|--------|------------------------------------|
| 551111 | Offices of Bank Holding Companies  |
| 551112 | Offices of Other Holding Companies |

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### 560000 Administrative and Support Services

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|        |   |
|--------|---|
| 561000 | Administrative and Support Services                   |
| 561110 | Office Administrative Services                        |
| 561210 | Facilities Support Services                           |
| 561210 | Base Maintenance                                      |
| 561310 | Employment Placement Agencies                         |
| 561320 | Temporary Help Services                               |
| 561330 | Employee Leasing Services                             |
| 561410 | Document Preparation Services                         |
| 561421 | Telephone Answering Services                          |
| 561422 | Telemarketing Bureaus                                 |
| 561431 | Private Mail Centers                                  |
| 561439 | Other Business Service Centers (including Copy Shops) |
| 561440 | Collection Agencies                                   |
| 561450 | Credit Bureaus  |
| 561491 | Repossession Services                                 |
| 561492 | Court Reporting and Stenotype Services                |
| 561499 | All Other Business Support Services                   |
| 561510 | Travel Agencies                                       |
| 561520 | Tour Operators  |
| 561599 | All Other Travel Arrangement and Reseration Services  |
| 561611 | Investigation Services                                |
| 561612 | Security Guards and Patrol Services*                  |
| 561613 | Armored Car Services                                  |
| 561621 | Security Systems Services (except Locksmiths)         |
| 561622 | Locksmiths  |
| 561710 | Exterminating and Pest Control Services*              |
| 561720 | Janitorial Services                                   |
| 561730 | Landscaping Services*                                 |
| 561740 | Carpet and Upholstery Cleaning Services               |
| 561790 | Other Services to Buildings and Dwellings             |
| 561910 | Packaging and Labeling Services                       |
| 561920 | Convention and Trade Show Organizers                  |
| 561990 | All Other Support Services                            |
| 562000 | Waste Management and Remediation Services             |
| 562111 | Solid Waste Collection                                |
| 562112 | Hazardous Waste Collection*                           |
| 562119 | Other Waste Collection                                |
| 562211 | Hazardous Waste Treatment and Disposal*               |
| 562219 | Other Nonhazardous Waste Treatment and Disposal       |
| 562910 | Remediation Services                                  |
| 562910 | Environmental Remediation Services                    |
| 562920 | Materials Recovery Facilities                         |
| 562998 | All Other Miscellaneous Waste Management Services     |

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### 610000 Educational Services

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|        |  |
|--------|--|
| 611410 | Business and Secretarial Schools                 |
| 611420 | Computer Training                                |
| 611430 | Professional and Management Development Training |
| 611512 | Flight Training                                  |

\* Note: Evidence of State licensing is required in order to be classified in this industry.

(This document contains a partial list of NAICS codes. For a complete list of NAICS codes, please visit [www.ntis.gov/naics](http://www.ntis.gov/naics))

## List of NAICS Codes (partial)

|        |   |
|--------|---|
| 611513 | Apprenticeship Training                         |
| 611519 | Other Technical and Trade Schools               |
| 611630 | Language Schools                                |
| 611691 | Exam Preparation and Tutoring                   |
| 611692 | Automobile Driving Schools                      |
| 611699 | All Other Miscellaneous Schools and Instruction |
| 611710 | Educational Support Services                    |

### **620000 Health Care and Social Assistance\***

|        |  |
|--------|--|
| 621000 | Ambulatory Health Care Services  |
| 621110 | Offices of Physicians  |
| 621210 | Offices of Dentists  |
| 621310 | Offices of Chiropractors   |
| 621320 | Offices of Optometrists  |
| 621330 | Offices of Mental Health Practitioners (except Physicians)               |
| 621340 | Offices of Physical, Occupational and speech Therapists and Audiologists |
| 621391 | Offices of Podiatrists   |
| 621399 | Offices of All Other Miscellaneous Health Practitioners                  |
| 621410 | Family Planning Centers  |
| 621420 | Outpatient Mental Health and Substance Abuse Centers                     |
| 621492 | Kidney Dialysis Centers  |
| 621493 | Freestanding Ambulatory Surgical and Emergency Centers                   |
| 621498 | All Other Outpatient Care Centers  |
| 621511 | Medical Laboratories   |
| 621512 | Diagnostic Imaging Centers   |
| 621610 | Home Health Care Services  |
| 621910 | Ambulance Services   |
| 621999 | All Other Miscellaneous Ambulatory Health Care Services                  |
| 622000 | Hospitals  |
| 623000 | Nursing and Residential Care Facilities                                  |
| 624000 | Social Assistance  |
| 624120 | Services for the Elderly and Persons with Disabilities                   |
| 624110 | Child and Youth Services   |
| 624190 | Other Individual and Family Services                                     |
| 624210 | Community Food Services  |
| 624221 | Temporary Shelters   |
| 624229 | Other Community Housing Services   |
| 624230 | Emergency and Other Relief Services                                      |
| 624310 | Vocational Rehabilitation Services                                       |
| 624410 | Child Day Care Services  |

### **710000 Arts, Entertainment and Recreation**

|        |  |
|--------|--|
| 711000 | Performing Arts, Spectator Sports and Related Industries |
| 712000 | Museums, Historical Sites and Similar Institutions       |
| 713000 | Amusement, Gambling and Recreation Industries            |

### **720000 Accommodation and Food Services**

|        |                                       |
|--------|---------------------------------------|
| 721000 | Accommodation                         |
| 722000 | Food Services and Drinking Places     |
| 722110 | Full-Service Restaurants              |
| 722211 | Limited-Service Restaurants           |
| 722212 | Cafeterias                            |
| 722213 | Snack and Nonalcoholic Beverage Bars  |
| 722310 | Food Service Contractors              |
| 722320 | Caterers                              |
| 722330 | Mobile Food Services                  |
| 722410 | Drinking Places (Alcoholic Beverages) |

### **810000**

### **Other Services**

|        |   |
|--------|---|
| 811000 | Repair and Maintenance  |
| 811111 | General Automotive Repair   |
| 811112 | Automotive Exhaust System Repair  |
| 811113 | Automotive Transmission Repair  |
| 811118 | Other Automotive Mechanical and Electrical Repair and Maintenance   |
| 811121 | Automotive Body, Paint and Interior Repair and Maintenance  |
| 811122 | Automotive Glass Replacement Shops  |
| 811191 | Automotive Oil Change and Lubrication Shops   |
| 811192 | Car Washes  |
| 811198 | All Other Automotive Repair and Maintenance   |
| 811211 | Consumer Electronics Repair and Maintenance   |
| 811212 | Computer and Office Machine Repair and Maintenance  |
| 811213 | Communication Equipment Repair and Maintenance  |
| 811219 | Other Electronic and Precision Equipment Repair and Maintenance   |
| 811310 | Commercial and Industrial Machinery and Equipment (except Automotive and Electronic) Repair and Maintenance |
| 811411 | Home and Garden Equipment Repair and Maintenance  |
| 811412 | Appliance Repair and Maintenance  |
| 811420 | Reupholstery and Furniture Repair   |
| 811430 | Footwear and Leather Goods Repair   |
| 812000 | Personal and Laundry Services   |
| 812320 | Drycleaning and Laundry Services (except Coin Operated)   |
| 812331 | Linen Supply  |
| 812332 | Industrial Launderers   |
| 812921 | Photo Finishing Laboratories (except One-Hour)  |
| 812922 | One-Hour Photo Finishing  |
| 812930 | Parking Lots and Garages  |
| 813000 | Religious, Grantmaking, Civic, Professional and Similar Organizations                                       |

**The following internal codes are not NAICS codes, and are to be used only by Airport Concessionaires**

### **999xxx**

### **Airport Concessions**

|        |   |
|--------|---|
| 999001 | Airport Concessionaire - Book Stores                      |
| 999002 | Airport Concessionaire - Auto Rental                      |
| 999003 | Airport Concessionaire - Banks                            |
| 999004 | Airport Concessionaire - Hotels and Motels                |
| 999005 | Airport Concessionaire - Insurance Machines and Counters  |
| 999006 | Airport Concessionaire - Gift, Novelty, and Souvenir Shop |
| 999007 | Airport Concessionaire - Newstands                        |
| 999008 | Airport Concessionaire - Shoe Shine Stands                |
| 999009 | Airport Concessionaire - Barber Shops                     |
| 999010 | Airport Concessionaire - Automobile Parking               |
| 999011 | Airport Concessionaire - Jewelry Store                    |
| 999012 | Airport Concessionaire - Advertising                      |
| 999013 | Airport Concessionaire - Luggage Cart                     |
| 999014 | Airport Concessionaire - Nail Salons                      |

\* Note: Evidence of State licensing is required in order to be classified in this industry.

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