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Document Checklist: What You Need When Applying for Locally Based Enterprise (LBE) Certification

Gather the documents you will need to complete the process:

- **Resumes** for everyone who has ownership interest in the business.
- **Bank letters** including account numbers, a list of those authorized to sign on the account, and any limitations to a signer's authority.
- **A financial statement** detailing the most recent fiscal year, including a balance sheet or profit-and-loss statement, and describing all cash flows.
- **The business' federal, state, and city signed tax returns** for the most recent tax three years, including all schedules.
- **Personal federal, state, and city tax returns** of each owner for the prior three years, including all schedules. All W-2 forms must total to the amount listed on Line 7 of the IRS form 1040, including spouse's W-2s.
- **Proof of U.S. citizenship or permanent resident alien status** for each owner.
- **Licenses and permits** which the business holds.
- **Lease agreements or proof of ownership** for all business locations, which must be valid for at least six months after the date of application.
- **Three or more agreements** from the past two years, showing business activity, displaying the company's name and address, and reflecting services provided by the company to a client.
- **Registration documents** for any vehicle used for business purposes.
- **Proof of three or more sources of investment or capitalization** in the business, from the past two years.
- **Business start details** demonstrating how the business was initially capitalized.

- **Accountant's verification** of your statement of gross receipts.

The following documents may also be required, based on the structure of your business:

- **Sole Proprietorships** and **General Partnerships** operating under a trade or doing-business-as name (DBA) must file a Business Certificate for Sole Proprietorships and General Partnerships with the clerk of the county in which the business is conducted.
- **Partnerships** must provide a partnership agreement, and a business certificate as filed with county clerk.
- **Limited Partnerships (LPs)** and **Limited Liability Partnerships (LLPs)** must provide a partnership agreement and a state filing receipt, including any amended receipts.
- **Limited Liability Companies (LLCs)** must provide an LLC Organizational Agreement and LLC Articles of Organization, a state filing receipt, including any amended receipts, and any membership certificates, front and back, as well as the next un-issued certificate.
- **Corporations** must provide Articles of Incorporation, corporate bylaws, a state filing receipt, including any amended receipts, and stock certificates, front and back, as well as the next un-issued certificate.
- **Businesses operating under a trade name or doing-business-as name (DBA)** must provide a Certificate of Assumed Name, as filed with the County Clerk.

Need Help?

Reach out to the NYC Department of Small Business Services via **SBS Connect**:

<https://sbsconnect.nyc.gov/contact/>