



ADDENDUM FOR NYS M/WBE CERTIFICATION FOR NEWLY CERTIFIED FIRMS BY NEW YORK CITY DEPARTMENT OF SMALL BUSINESS SERVICES

Instructions:

Please review the requirements below regarding the use of this Addendum to apply to the New York State Department of Economic Development, Division of Minority and Women's Business Development ("DMWBD") for certification as an M/WBE. The responses required by this Addendum (including any supporting documentation submitted with said Addendum) are intended to address additional necessary information relating to M/WBE certification with DMWBD and which is not required by the New York City Department of Small Business Services ("SBS"), in its SBS NYC M/WBE Certification Application.

If eligible, Applicants must simultaneously submit this Addendum and the fully completed M/WBE Certification Application to SBS. If your firm is certified as an M/WBE with SBS then they will submit this completed Addendum, along with a copy of your completed SBS M/WBE Certification Application to DMWBD on your behalf. Please be advised that this service is a one-time courtesy for business enterprises that have never previously applied or are not currently under review for M/WBE certification with DMWBD or SBS. In addition, please note that DMWBD reserves the right to request additional information from the Applicant to determine the business enterprise's eligibility for certification as an M/WBE with New York State.

Note:

*Failure to certify with SBS may or may not preclude a business entity from eligibility for M/WBE Certification with DMWBD. An Applicant may choose to separately submit a properly completed NYS Standard M/WBE Certification Application to DMWBD. However, it is important for Applicants to note that SBS **will not forward** a completed Addendum for M/WBE Certification with DMWBD to DMWBD for review if the Applicant is denied NYC M/WBE Certification by SBS.*



1. Please provide the business' web and social media links (Website, Twitter, Facebook, etc.). (If applicable).

2. Please provide gross receipts for the last 3 years (If your business is in operation for less than 3 years, complete as applicable).

\$ _____ \$ _____ \$ _____
 Current Year (20____) Last Year (20____) Previous Year (20____)

3. Check all that best describes the business operation.

- Construction-Related Consumer Service Broker Professional Service Franchise
- Manufacturer/Supplier Technical service Retail Financial Services
- Other (explain) _____

4. Please provide the business' North American Industry Classification System (NAICS) code. NAICS codes can be found at www.census.gov/eos/www/naics

NAICS _____

5. Please provide and attach an executed contract for each industry code classification.

6. Are any of the owners of this business related to other owners or principals of this business?

Yes No

If "Yes", please explain the nature of the family relationship.

7. At present, or at any time in the past has your business:

- a) been a subsidiary of any other business? Yes No
- b) consisted of a partnership in which one or more of the partners are other firms? Yes No
- c) owned any percentage of any other business? Yes No
- d) had any subsidiaries? Yes No
- e) had immediate family members own or manage other businesses? Yes No

If Yes, please provide the following details for each family member below:

Full Name (First and Last)	Relationship	Business	Type of Business	Own or Manage?

8. Does your business rely on any other business for management functions or employee payroll?

If "Yes", please explain the details. Yes No



9. Please provide and the firm's active Authority to do Business in NYS from the NYS Department of State (except sole proprietors).
 10. If a license, permit or certification is required to operate any part of your business, please provide a copy.
-



This affidavit must be signed by each owner of the firm upon which certification is based.

Each individual owner relied upon for certification as a minority or women-owned business enterprise (hereinafter "MWBE") must complete this form and provide the applicable supplemental documentation as referenced below as part of the application for certification or recertification.

The personal net worth of each individual upon which certification is relied upon cannot exceed 3.5 million dollars, as adjusted annually for inflation according to the consumer price index to reflect the current buying power of 3.5 million dollars in the year 2010. To determine the current net worth threshold, applicants should refer to the consumer price index maintained by the United States Department of Labor, Bureau of Labor Statistics. http://www.bls.gov/data/inflation_calculator.htm

For certification purposes, personal net worth shall mean the aggregate adjusted net value of the assets of an individual remaining after total liabilities are deducted. Personal net worth includes the individual's share of assets held jointly with said individual's spouse but does not include the individual's ownership interest in the certified minority and women-owned business enterprise, the individual's equity in his or her primary residence, or up to five hundred thousand dollars (\$500,000) of the present cash value of any qualified retirement savings plan or individual retirement account held by the individual less any penalties for early withdrawal.

I, _____, being duly sworn state that my social security number is _____-_____-_____ and am a woman or a member of a minority group as defined in Article 15-A of the Executive Law.

I own _____% of the equity in _____, the business applying for certification or re-certification as an MBE or WBE with New York State. I have read the definition of net worth set forth in the statement above, and have calculated my net worth to be \$_____.

Further, I understand that I am required to provide, with this affidavit, a true, executed copy of my submitted federal and state personal tax returns, including all statements and schedules as filed for the prior taxable year. I also understand that in the event my personal net worth exceeds 1.3 million dollars at the time of the application, I am also required to submit a complete Attachment B: Personal Financial Statement Worksheet in the form supplied below.

I understand the tax returns I have submitted to the Division of Minority and Women's Business Development as part of the certification or re-certification process must be true and correct copies of my personal tax returns and include all schedules, statements and amendments which I have submitted to the IRS and the state or, in the event that I have paid taxes in multiple jurisdictions, states where I have filed my most recent state income taxes. By signing below I am attesting that I am providing this as part of the application for certification or re-certification, and acknowledge any false statement made by the applicant will result in the denial of certification and is punishable as a Class E Felony under Section 175.35 of the Penal Law.

(Signature) (Print)

State of _____, County of _____. On this _____ day of _____ 20____, before me appeared (Name) _____ to me personally known, who being duly sworn, properly did execute the foregoing affidavit and did state that s/he was properly authorized by

(Name of Firm) _____ to execute the affidavit and did so as his or her free act and deed.

Notary Public _____ Commission Expires _____



Complete this worksheet to determine the individual personal net worth as part of the application for MWBE Certification with the Division of Minority and Women's Business Development.

Name of Applicant Business:	Business Phone:
-----------------------------	-----------------

Check One: Single Individual Married Individual

Name:	
Residence Address:	Residence Phone:

Assets		Liabilities	
Cash on hand in Banks	\$	Accounts Payable (Describe in Section 7)	\$
Savings Accounts	\$	Notes Payable to Bank and Others (Describe in Section 2)	\$
IRA & Other Retirement Account (Complete Section 9)	\$	Installment Account (Auto)	\$
Accounts & Notes Receivable	\$	Installment Account (Other)	\$
Life Insurance – Cash Surrender Value Only	\$	Loan on Life Insurance	\$
Stocks and Bonds (Describe in Section 3)	\$	Mortgage on Real Estate (Describe in Section 4)	\$
Real Estate (do not include primary residence from Section 4)	\$	Unpaid Taxes (Describe in Section 6)	\$
Automobile – Present Value	\$	Other Liabilities (Describe in Section 7)	\$
Other Personal Property	\$	Other Liabilities (Describe in Section 7)	\$
Other Assets	\$		
Total Assets	\$	Total Liabilities	\$

Adjusted Personal Net Worth	\$
------------------------------------	----

Section 1: Source of Income (Prior Year)		Contingent Liabilities	
Salary	\$	As Endorser or Co-Maker	\$
Gross Investment Income	\$	Legal Claims & Judgments	\$
Gross Real Estate Income	\$	Provisions for Federal Income Tax	\$
Other Income (Describe below)*	\$	Other Special Debt	\$

Description of Other Income in Section 1.

**Alimony or child support payments need not be disclosed in "Other Income" unless is desired to have such payments counted toward total income.*

Section 2: Notes Payable to Banks and Others					
Use attachments if necessary. Each attachment must be identified as part of this statement and signed.					
Name and Address of Noteholder(s)	Original Balance	Current Balance	Payment Amount	Frequency	How Secured
	\$	\$	\$		

Section 3: Stocks and Bonds					
Use attachments if necessary. Each attachment must be identified as part of this statement and signed.					
No. of Shares	Name of Securities	Cost	Market Value Quotation/Exchange	Date of Quotation/Exchange	Total Value
		\$	\$		\$

Section 4: Real Estate Owned. List each parcel separately. DO NOT include primary residence.				
Use attachments if necessary. Each attachment must be identified as part of this statement and signed.				
	Primary Residence*	Property B	Property C	Property D
Type of Property				
Address				
Date Purchased				
Original Cost	\$	\$	\$	\$
Present Market Value	\$	\$	\$	\$
Name & Address of Mortgage Holder				
Mortgage Account No.				
Mortgage Balance	\$	\$	\$	\$
Amount of Payment per Year	\$	\$	\$	\$
State of Mortgage				

****Do not include primary residence in calculations on first page of the Personal Net Worth Worksheet***

Section 5: Other Personal Property and Other Assets.

Describe in detail any pledged security, state name and address of lien holder, amount of lien, terms of payment. State any ownership interests in affiliate firms must be included. Use attachments if necessary. Each attachment must be identified as part of this statement and signed.

Section 6: Unpaid Taxes.

Describe in detail any unpaid taxes. Use attachments if necessary. Each attachment must be identified as part of this statement and signed.

Section 7: Other Liabilities.

Describe in detail other liabilities. Use attachments if necessary. Each attachment must be identified as part of this statement and signed.

Section 8: Life Insurance Hold.

Describe in detail life insurance holds. Use attachments if necessary. Each attachment must be identified as part of this statement and signed.

Section 9: Other Assets.

Describe in detail other assets. Use attachments if necessary. Each attachment must be identified as part of this statement and signed.

Type of Account	Current Face Value	Minus Any Penalties	Current Value if Withdrawn Today
	\$	\$	\$

Authorization:

Signature:	Date:	Social Security Number:
------------	-------	-------------------------



This affidavit must be signed by the majority owner of the firm upon which certification is based.

The undersigned, _____, being the _____ of _____, Name Title Firm Name

Hereby attest to the following:

By signing this Application, Applicant understands that DMWBD may require proof of eligibility in addition to the information disclosed in the Application. The Applicant agrees to submit additional proof if it is requested by DMWBD and acknowledges that DMWBD may determine not to certify that Applicant as an MBE or as a WBE if the additional proof is not submitted within 20 business days after the date such information is requested by DMWBD, or the application may be rejected by the DMWBD.

By signing this Application, Applicant also consents to (i) inquiries by DMWBD of the Applicant's bonding companies, banking institutions, credit agencies, contractors, affiliates, clients, and other certifying agencies to ascertain the applicant's eligibility for certification; (ii) inspection by DMWBD of Applicant's place of business, books and records; (iii) interviews of Applicant's principals and employees; and (iv) access to all documents submitted in support of the firm's certification with another agency (the "original certifying entity"). The Applicant acknowledges that refusal to permit such inquires shall be grounds for denial or revocation of certification.

Certification of the Applicant as a Minority-owned Business Enterprise (MBE) and/or as a Women-owned Business Enterprise (WBE) with the New York State Division of Minority and Women's Business Development ("DMWBD"), and for that purpose does hereby verify, under penalties of perjury:

- 1. He or she has read this Application and knows its contents;
2. The information and representations contained in this Application are true to the best of his or her knowledge;
3. The information and representations contained in the Applicant's application submitted to the certifying partner of certification is true to the best of his or her knowledge;
4. The Applicant shall provide notice to DMWBD of any material change in the information contained in this Application or the Applicant's application submitted to the certifying partner for certification status within 30 days of such change;
5. The minority and/or women owner upon which certification is based verify that their net worth does not exceed \$3.87 million dollars and the applicant business does not employ more than 300 employees; and
6. By signing below, I am attesting that I am providing this Addendum Affidavit as part of the application for certification and acknowledge any false statement made by the applicant will result in the denial of certification and is punishable as a Class E Felony under Section 175.5 of the Penal Law.

(Signature) _____ (Print) _____
State of _____, County of _____. On this _____ day of _____ 20____,
before me appeared (Name) _____ to me personally known, who being duly sworn,
properly did execute the foregoing affidavit and did state that s/he was properly authorized by
(Name of Firm) _____ to execute the affidavit and did so as his or her free act and deed.
Notary Public _____ Commission Expires _____



– Please submit copies of the following supporting documents for NYS MWBE Certification Application –

1. Copy of an executed contract for each industry code classification referenced in addendum.
2. Copy of firm's Authority to do Business in NYS from the NYS Department of State (except for sole proprietor).
3. Copy of a license, permit or certification, if required to operate any part of your business.
4. Most recent personal federal and state tax returns including all schedules and statements.
5. Completed, signed, and notarized Attachment A: NYS MWBE Personal Net Worth Affidavit for each minority and/or woman owner upon which certification is based.
6. Attachment B: Personal Financial Statement Worksheet (if applicable)
7. Attachment C: Certification Addendum Affidavit

– End of NYS MWBE Certification Addendum –