



**NEW JERSEY DEPARTMENT OF TRANSPORTATION**  
**EMERGING SMALL BUSINESS ENTERPRISE (ESBE)**  
**APPLICATION**

The New Jersey Department of Transportation's Emerging Small Business Enterprise (ESBE) Program is a race and gender neutral program designed to provide select contracting opportunities to small and disadvantaged businesses on federally funded projects. To qualify as an Emerging Small Business Enterprise, a firm must meet two basic requirements: 1) the firm's gross revenues shall not exceed the Small Business Administration's (SBA) designated size standard in its firm's work type or industry, and 2) the firm's majority ownership must be at least 51% by one or more persons whose individual personal net worth does not exceed \$750,000, excluding their primary residence and stock equity in the applicant firm.

**PLEASE PRINT OR TYPE THE FOLLOWING INFORMATION**

**Firm Name:** \_\_\_\_\_

**Address:** \_\_\_\_\_

**City:** \_\_\_\_\_ **State:** \_\_\_\_\_ **Zip:** \_\_\_\_\_

**County:** \_\_\_\_\_ **Telephone:** (\_\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_ **Ext.** \_\_\_\_\_

**Fax:**(\_\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_ **Contact Person:** \_\_\_\_\_

**Federal Employer I.D.#:** \_\_\_\_\_ **E-Mail Address:** \_\_\_\_\_

**PLEASE ANSWER ALL QUESTIONS**

1. List your firm's major work classifications: **Primary:** \_\_\_\_\_  
**Secondary:** \_\_\_\_\_  
**Other:** \_\_\_\_\_

**2. Ownership Information:**

Name of Owner(s)	Sex (M/F)	#of Shares Owned	% Owned
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

3. Have there been any changes in the ownership of the company, since it's start-up? **Yes** \_\_\_\_\_ **No** \_\_\_\_\_

**If yes, please explain:**

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

4. Do you have ownership in any other firm? Are you employed elsewhere? Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, identify other firm of employment. \_\_\_\_\_  
\_\_\_\_\_

5. What qualifications and/or experience enable you to run a business of this nature? (Submit copies of resumes for all company principals, officers and key employees.) \_\_\_\_\_  
\_\_\_\_\_

6. Describe your typical daily responsibilities. (Please be specific.)  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

7. Is a license required for your business? Yes \_\_\_\_\_ No \_\_\_\_\_  
If so, who is the license qualifier? \_\_\_\_\_

8. Please indicate any major capital investments in the business. This would include initial start-up investments as well as current investments.

Contributor/Source	Amount	Type/Date of Contribution
_____	_____	_____
_____	_____	_____

9. Who is authorized to make loans for the firm? (Provide a copy of your banking resolution, listing authorized signatures)

Name and Title:	Owner (✓):	Non-Owner (✓):
_____	_____	_____
_____	_____	_____
_____	_____	_____

Comment [n1]:

10. Do you have any outstanding loans or a line of credit? Yes \_\_\_\_\_ No \_\_\_\_\_  
(If so, please provide a copy)

What was utilized as collateral for the loan?  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

11. Is your firm being assisted financially in any way by any other company? Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, please explain:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

12. List rented, leased, or owned warehouse, plant, yard and office facilities.

Facility type	Owner or name of Lessor and/or rental agent	If rented or leased, Amount of yearly rent payment
_____	_____	_____
_____	_____	_____
_____	_____	_____

13. Do you have the necessary equipment to perform your type of work? Yes \_\_\_\_\_ No \_\_\_\_\_

14. Do you lease any equipment? Yes \_\_\_\_\_ No \_\_\_\_\_

15. Does your firm share equipment or manpower with any other firm? (If yes, please provide documentation) Yes \_\_\_\_\_ No \_\_\_\_\_

16. Are you prequalified with the New Jersey Department of Transportation? Yes \_\_\_\_\_ No \_\_\_\_\_

In which classifications? \_\_\_\_\_ Consultant \_\_\_\_\_ Contractor

17. Are you certified as an MBE, WBE, or DBE with the New Jersey Department of Transportation, or any other state agency?

Yes \_\_\_\_\_ No \_\_\_\_\_ If yes, provide copies of current certifications.

Note: Regarding rules governing confidentiality, the New Jersey Department of Transportation complies with provisions of the Federal Freedom of Information and Privacy Acts (5 U.S.C. 552 and 552a).

**PLEASE RETURN YOUR COMPLETED APPLICATION TO:** NJDOT, Division of Civil Rights & Affirmative Action, DBE Unit, P.O. Box 600, Trenton, NJ 08625-0600.

CERTIFICATION

The undersigned does hereby swear that he/she is a duly authorized representative of \_\_\_\_\_(company name), holding the position of \_\_\_\_\_(title) and that the foregoing statements and attachments are true, accurate, complete and include all the information necessary to complete this application. Further, he/she understands that any misrepresentation will be grounds for denial, decertification and/or grounds for consideration of termination of any contracts, which may have been awarded, and possible action under Federal or State law concerning fraud and deception.

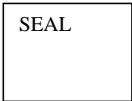
If after filing this application, there are any changes in the ownership of this business or in any information submitted, he/she will notify the Division of Civil Rights/Affirmative Action within 14 calendar days; and he/she understands that failure to do so may result in the loss of his/her certification as an Emerging Small Business Enterprise.

\_\_\_\_\_  
Signature of Applicant

\_\_\_\_\_  
Title

\_\_\_\_\_  
Printed Name of Applicant

Sworn to and subscribed before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.



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

<p style="text-align: center;"><b>ESBE CERTIFICATION APPLICATION SUPPORTING DOCUMENTS CHECKLIST</b> In order to complete your application for ESBE certification, you must attach copies of all of the following documents as they apply to you and your firm.</p>
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**All Applicants**

- Work experience resumes (that include places of ownership/employment with corresponding dates), for all owners and officers of your firm
- Personal Financial Statement (form available with this application)
- Personal tax returns for the past three years, if applicable, for each owner claiming disadvantaged status
- Your firm's tax returns (gross receipts) and all related schedules for the past three years
- Documented proof of contributions used to acquire ownership for each owner (*e.g. both sides of cancelled checks*)
- Your firm's signed loan agreements, security agreements, and bonding forms
- Descriptions of all real estate (including office/storage space, etc.) owned/leased by your firm and documented proof of ownership/signed leases
- List of equipment leased and signed lease agreements
- List of construction equipment and/or vehicles owned and titles/proof of ownership
- Documented proof of any transfers of assets to/from your firm and/or to/from any of its owners over the past two years
- Year-end balance sheets and income statements for the past three years (*or life of firm, if less than three years*); a new business must provide a current balance sheet
- All relevant licenses, license renewal forms, permits, and haul authority forms
- Bank authorization and signatory cards
- Schedule of salaries (or other compensation or remuneration) paid to all officers, managers, owners, and/or directors of the firm
- Trust agreements held by any owner claiming disadvantaged status, if any

**Partnership or Joint Venture**

- Original and any amended Partnership or Joint Venture Agreements

**Corporation or LLC**

- Official Articles of Incorporation (*signed by the state official*)
- Both sides of all corporate stock certificates and your firm's stock transfer ledger
- Shareholders' Agreement
- Minutes of all stockholders and board of directors meetings
- Corporate by-laws and any amendments
- Corporate bank resolution and bank signature cards
- Official Certificate of Formation and Operating Agreement with any amendments (for LLCs)

**Trucking Company**

- Documented proof of ownership of the company
- Insurance agreements for each truck owned or operated by your firm
- Title(s) and registration certificate(s) for each truck owned or operated by your firm
- List of U.S. DOT numbers for each truck owned or operated by your firm

**Regular Dealer**

- Proof of warehouse ownership or lease
- List of product lines carried
- List of distribution equipment owned and/or leased