



RTD's Small Business Enterprise (SBE) Certification Program
New Application Fact Sheet

RTD administers the RTD SBE Program and certifies firms to participate on its locally funded projects with SBE goals. RTD supports community in business and strives to protect and provide value to the small, minority, and disadvantaged business community. Becoming and remaining RTD SBE-certified provides small businesses with no-cost inclusion on the RTD SBE directory that increases visibility for contract opportunities and participation that will count toward RTD projects with SBE goals. Firms will also receive personal invitations to business marketing and outreach events and will have higher visibility with other agencies such as Denver Public Schools and Denver Water. RTD SBEs also enjoy secure contract protection clauses on RTD contracts including prompt payment, retainage release, and no reduction, replacement, or termination without cause.

All firms seeking to participate in RTD's SBE Program must complete the RTD's SBE Application to be listed on RTD's SBE directory.

SBE Certification Eligibility Criteria

RTD's SBE Program is open to any business, regardless of the race or gender of its owner(s), if it meets the following guidelines:

1. The average annual gross receipts for the business for the past 5 years may not exceed \$30.72 million. This includes any affiliate businesses owned in whole or in part by any owner of the business applying, regardless of their ownership interest; and
2. The business must be at least 51% owned by one or more individuals whose personal net worth is less than \$2.047 million – not including the equity in their primary residence or their equity/investment in the business applying. Applicants cannot transfer ownership solely for the purpose of qualifying for the SBE program. RTD will evaluate transfers of ownership within the past two years to determine compliance with the personal net worth requirements.

Eligible firms are also classified in one of four categories depending on their three (3) year average gross receipts, as follows:

- Category 1: Firms with gross receipts less than \$1 million;
- Category 2: Firms with gross receipts between \$1 million and \$5 million;
- Category 3: Firms with gross receipts between \$5 million and \$10 million;
- Category 4: Firms with gross receipts greater than \$10 million but less than \$30.72 million.

Certification Application

If your business qualifies, please complete and submit the attached RTD SBE Application & Affidavit and Personal Financial Statement. Both forms, along with the supporting documents listed on the checklist included in this packet must be submitted. Documents may be submitted via email to SBO@RTD-Denver.com. Please note, RTD

only accepts these SBE Certification Application and Personal Financial Statement forms. Alternative forms are not accepted. RTD reserves the right to request additional information/documentation and conduct a site visit as it

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Subject: SBE New Certification Fact Sheet Page 2 deems necessary.

Certification Processing

RTD's Small Business Opportunity Office will process received applications on a first-come, first-serve basis. Applications must be received in full before the SBE certification review can begin. If your application is incomplete, you will be notified via email of the specific deficiencies. Missing information must be submitted within 14 days unless an alternate time is agreed to. The total new certification review timeline may take up to 45 days.

Certification Decision

Once the certification review is complete, you will receive notice of certification or denial. If found eligible, you will receive a letter of certification. This letter will include the NAICS codes indicating the types of work performed by the firm that may be counted toward RTD's SBE goals. You will list on the application the NAICS codes you wish the Small Business Opportunity Office to consider. However, the Small Business Office will determine as part of its evaluation process which NAICS codes a firm is eligible to be certified for, based on several eligibility factors, including the owner's ability to control each type of work. RTD will, on request, provide an explanation for why it granted or omitted specific NAICS codes.

If found in-eligible, you will receive a letter that explains RTD Small Business Opportunity Office's findings and reasons for ineligibility, specifically referencing the evidence in the record that supports each reason for denial.

RTD's SBE certification is valid for six (6) years from the last day of the month in which it was certified if the business remains within the business size and personal net worth guidelines. After six (6) years, firms must complete a Recertification. Certified SBEs must complete an Annual Update on or before their certification anniversary date. Failure to submit an annual update or recertification will unfortunately result in loss of SBE certification.

Questions?

If you have questions or concerns, please contact the Small Business Opportunity Office by email at SBO@RTDDenver.com.

Please visit the Business Center at www.rtd-denver.com for more information on RTD's SBE Program, including the full RTD SBE Policies and Procedures, information on doing business with RTD, and upcoming events and contracting opportunities.



RTD Small Business Enterprise (SBE) New Certification Application Documents Checklist

In order to complete your application for RTD SBE certification, you must include copies of the following required documents. This is to ensure that all participating firms and qualifying owners are eligible for the RTD SBE Certification program and only firms that are SBE-qualified will receive SBE contract opportunities and count toward participation in RTD projects with SBE goals. RTD supports community in business and strives to protect and provide value to the small, minority, and disadvantaged business community.

Please email all required documents to SBO@RTD-Denver.com.

All firms applying for RTD SBE Certification must provide the following:

- A complete, signed, and notarized RTD SBE Certification Application & Affidavit.
- Personal financial statement for EACH economically disadvantaged owner comprising 51% or more ownership of the firm. Please note, only RTD's personal financial statement form will be accepted; alternative agency's forms **will not** be accepted.
- Federal income tax returns, including all supporting schedules and attachments, for the firm and all affiliates for the past three (3) years. RTD reserves the right to request an additional (2) years returns if needed.
- Personal federal income tax returns, including all supporting schedules and attachments, for each economically disadvantaged owner for the past three (3) years.
- Current resumes, including education and dates and places of employment with duties and responsibilities held, for all owners, directors, officers, and key personnel.
- Copies of all licenses and certifications necessary to engage in the firm's operations.
- A Certificate of Good Standing issued by the Colorado Secretary of State.
- A Certificate of Registered Trade Name issued by the Colorado Secretary of State (if applicable).
- A Statement of Foreign Entity Authority issued by the Colorado Secretary of State (if applicable).

- ❑ An itemized list of inventories available for sale (for suppliers of goods only).

- ❑ An itemized list of all equipment owned and leased by the firm.

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Subject: RTD SBE New Certification Application Documents Checklist
Page 2

RTD reserves the right to conduct a site visit and request additional information/documentation as it deems necessary.

The SBE Certification Application & Affidavit and RTD Personal Financial Statement are attached to this packet and also available for download at [https://www.rtd-denver.com/business-center/dbesbe/ forms](https://www.rtd-denver.com/business-center/dbesbe/forms).

The burden of proof to demonstrate eligibility for RTD's SBE program is on the applicant. If an applicant does not provide requested information within the allotted time provided by RTD, or if it submits incomplete information, RTD may presume that disclosure of the missing information would adversely affect the firm or would demonstrate lack of eligibility in the area to which the information relates. Failure to supply the required documents, or any subsequently requested documents, may unfortunately result in denial of RTD SBE certification.

If you have any questions or need assistance, please contact RTD's Small Business Opportunity Office at SBO@RTD-Denver.com.



RTD SMALL BUSINESS ENTERPRISE (SBE) CERTIFICATION APPLICATION

INSTRUCTIONS: All questions must be answered, and complete information provided. **DO NOT LEAVE ANY SPACE BLANK; ENTER "N/A" FOR NOT APPLICABLE.** Please email your completed application, Personal Financial Statement(s), and supporting documentation to SBO@RTD-Denver.com. Forms are available for download at <https://www.rtd-denver.com/business-center/dbesbe/forms>. If the application is not legible, complete, signed, dated, notarized, and accompanied by all documentation, you will be contacted to correct the deficiency. For assistance or questions, please reach to the Small Business Opportunity Office at SBO@RTD-Denver.com.

Application Type <input type="checkbox"/> New Application <input type="checkbox"/> Recertification		How Did You Hear About RTD's SBE Program? <input type="checkbox"/> I am Recertifying <input type="checkbox"/> RTD Website <input type="checkbox"/> Community Event: _____ <input type="checkbox"/> Word of Mouth <input type="checkbox"/> Other _____	
1. Name of Firm			2. EIN
3. Physical Address	City	State	Zip
4. Mailing Address (if different)	City	State	Zip
5. Owner Name		6. Business Phone	
7. Email	8. Website		
9. Type of Ownership (Check one) <input type="checkbox"/> Sole Proprietor <input type="checkbox"/> Partnership <input type="checkbox"/> Limited Liability Company (LLC) <input type="checkbox"/> Corporation			
10. Date Established	11. Date Incorporated/Organized	12. State of Incorporation	
13. Nature of the Firm's Work			
14. Primary Owner's Citizenship, Ethnicity, and Gender			

Citizenship <input type="checkbox"/> US Citizen <input type="checkbox"/> Lawful Permanent Resident <input type="checkbox"/> Other (Explain)	Ethnicity <input type="checkbox"/> Black <input type="checkbox"/> Hispanic <input type="checkbox"/> Subcontinent Asian <input type="checkbox"/> Native American <input type="checkbox"/> Asian Pacific <input type="checkbox"/> Other <input type="checkbox"/> Caucasian	Gender <input type="checkbox"/> Female <input type="checkbox"/> Male <input type="checkbox"/> Other
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15. Ownership Details

If you indicated Sole Proprietor in Question 10, please provide the following information:

Name	Social Security Number	# of Years as Owner
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If you indicated Partnership, Limited Liability Company (LLC), or Corporation in Question 10, please provide the following information (attach additional pages if needed):

Name	Board/Management Position	Number of Shares Held	Ownership %	Date Acquired
Total Number of Shares Issued		Total Number of Shares Outstanding		

16. Is the firm owned in full or in part by another company?

Yes No

(If yes, on a separate sheet, list the parent company's owners, percentage held by each, and the names and addresses of its directors and officers. If minorities, please indicate.)

17. Identify any individual named in questions 16 or 17 who currently is, or who was within the last three years, an owner, manager, or employee of another firm that has an ownership interest in or present business relationship with the firm. Present business relationships include the sharing of space, employees, equipment, or financing. Explain any such relationships below.

18. Have there been any transfers/changes of ownership in the past two years?

Yes No (If yes, explain on a separate sheet.)

19. Management – indicate control of firm in the following areas:

	Name	Relationship to owners	Title
Financial Decisions			
Estimating			
Marketing/Sales			
Hire/Fire Personnel			
Purchasing Major Equipment/Supplies			
Supervision of Field Operations			
Jobs the Company Selects			
Surety and/or Performance Bonds			
Insurance			
Checking Account Signature Authority			
Negotiating and Signing Contracts			

20. Were any of the individuals listed above on another company's payroll concurrent with employment with the applicant firm?

Yes No

21. Gross receipts and employment levels. Beginning with the most recent year in which the business filed a federal income tax return with the Internal Revenue Service (IRS) and going back three previous years, provide the gross receipts figures as they were reported on the federal income tax returns. Also, provide the total number of employees for each year.

Tax Year Gross Receipts # of Employees



22. Does the company own/lease the equipment necessary to provide the essential functions of its business? (List owned/leased equipment on separate sheet, by type and quantity.)

Yes No

23. List all certifications (DBE, MBE, WBE, ESB, SBE, etc.) the firm has received & years certified. (Please provide copies of certification letters.)

24. Has the firm ever been denied certification by a government agency? (If yes, provide copies of all such denial letters and any appeal decisions.)

Yes No

25. Has any individual named in questions 16, or 17 been an owner or manager with a firm that has been denied certification? (If yes, please provide an explanation on a separate attachment.)

Yes No

26. List the three (3) largest contracts and contact information completed by the firm. If the firm does not perform contract-based work, provide three business references with contact information.

Contract With	Contact Person	Phone Number	Contract Amount	Type of Work	Date

27. What of products or services does the business provide? For a list of NAICS codes, go to www.census.gov/naics/.

NAICS Code

NAICS Code Descriptor

_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

RTD SBE CERTIFICATION APPLICATION AFFIDAVIT

The undersigned swears under penalty of perjury, that the information provided in this application is correct and true, and includes all material information necessary to identify and explain the operations of _____ as well as the ownership thereof. (Name of Firm)

The undersigned also states that they have the authority to execute the affidavit and does so as his or her free act and deed.

The undersigned also affirms that:

1. The business can perform all listed services in a professional and competent manner; and 2. The business has legal access to all listed products and can provide them in a timely manner;
- and
3. The business is operating within the following SBE Program guidelines:
 - The average annual gross revenues for the business for the past 3 years are less than \$30.72 million; and
 - The personal net worth of the qualifying owner(s) of the business is less than \$2.047 million, not including the equity in their primary residence and in the applicant business.

Any fraud or misrepresentation concerning information provided in the application will result in revocation of the application and/or certification and may result in the maximum legal prosecution allowed by prevailing statutes.

As a participant in the RTD SBE Program, I promise to notify the RTD Small Business Opportunity Office; SBO@RTDDenver.com, within thirty (30) days in writing of:

- Any changes to ownership, location, contact information and/or service offerings by the business; and
- Any change of the financial status of the business or qualifying owner(s) that would violate the financial guidelines of the RTD SBE Program as outlined above.

I understand that this RTD SBE certification may be investigated, audited, suspended, or revoked at any time for cause at the discretion of the RTD Small Business Opportunity Office.

(Printed Name)	(Title)
(Signature)	(Date)

NOTARY

The foregoing affidavit was subscribed and sworn to before me on this _____ day of _____, 20____
by _____.

SEAL

Notary Public Signature

Commission Expiration Date

Regional Transportation District
INDIVIDUAL PERSONAL FINANCIAL STATEMENT

(Submit with SBE Certification & Recertification Applications)



As of _____, 20 _____

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INSTRUCTIONS: Complete this form for EACH majority owner or stockholder whose individual or combined interest makes up 51% or more of the company's ownership. This form should include individual assets only; jointly-held assets should be split. Do not leave any item blank; enter "0" or "N/A." This statement must be notarized before submitting with the SBE Certification Application.

Name	Business Phone
Residence Address	Residence Phone
City, State, & Zip Code	
Business Name of Applicant	

ASSETS (Omit Cents)	LIABILITIES (Omit Cents)
1. Cash on Hand and in Banks \$ _____	12. Accounts Payable \$ _____
2. Savings Accounts \$ _____	13. Notes Payable to Banks and Others \$ _____ (Describe in Section 1)
3. IRA or Other Retirement Account.....\$ _____	14. Installment Account (Auto) \$ _____
4. Accounts and Notes Receivable.....\$ _____	15. Installment Account (Other) \$ _____
5. Life Insurance – Cash Surrender Value Only\$ _____ (Complete Section 7)	16. Loan on Life Insurance \$ _____
6. Stocks and Bonds \$ _____ (Describe in Section 2)	17. Mortgages on Real Estate \$ _____ (Describe in Section 3)
7. Real Estate \$ _____ (Describe in Section 3)	18. Unpaid Taxes..... \$ _____ (Describe in Section 5)
8. Automobile(s) – Present Value \$ _____	19. Other Liabilities \$ _____ (Describe in Section 6)
9. Other Personal Property..... \$ _____ (Describe in Section 4)	20. Total Liabilities (add lines 12-19)..... \$ _____
10. Other Assets Including Business Ownership Interests...\$ _____ (Describe in Section 4)	21. Net Worth \$ _____ Total Assets (line 11) minus Total Liabilities (line 20)
11. Total Assets (add lines 1-10)..... \$ _____	

Sources of Income	Contingent Liabilities
22. Salary \$ _____	26. As Endorser or Co-Maker \$ _____
23. Net Investment Income \$ _____	27. Legal Claims and Judgements..... \$ _____
24. Real Estate Income \$ _____	28. Provision for Federal Income Tax \$ _____
25. Other Income.....\$ _____	29. Other Special Debt \$ _____

Section 1 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 (monthly, etc.)	How Secured or Endorsed Type of Collateral
	\$	\$	\$		
	\$	\$	\$		
	\$	\$	\$		

Section 2 Stocks and Bonds (Use attachments if necessary. Each attachment must be identified as part of this statement and signed.)

Name of Securities	Number of Shares Held	Cost	Market Value Quotation/Exchange	Date of Quotation/Exchange	Total Current Value
		\$	\$		\$
		\$	\$		\$
		\$	\$		\$
		\$	\$		\$

25. Other Income..... \$ _____	
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Section 1 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 (monthly, etc.)	How Secured or Endorsed Type of Collateral
	\$	\$	\$		
	\$	\$	\$		
	\$	\$	\$		

Section 2 Stocks and Bonds (Use attachments if necessary. Each attachment must be identified as part of this statement and signed.)

Name of Securities	Number of Shares Held	Cost	Market Value Quotation/Exchange	Date of Quotation/Exchange	Total Current Value
		\$	\$		\$
		\$	\$		\$
		\$	\$		\$
		\$	\$		\$

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Section 3. Real Estate Owned (List each property separately. Include your primary residence. Use attachments if necessary. Each attachment must be identified as part of this statement and signed.)

	Property A	Property B	Property C
Type of Property			
Address			
Date Purchased			
Original Cost	\$	\$	\$
Current Market Value	\$	\$	\$
Name of Mortgage Holder			
Mortgage Account Number			
Mortgage Balance	\$	\$	\$
Payment Amount	\$	\$	\$
Status of Mortgage			

Section 4. Other Personal Property and Other Assets (Describe; if any is pledged as security, state the name and address of lien holder, amount of lien, terms of payment; if delinquent, describe delinquency. Use attachments if necessary. Each attachment must be identified as part of this statement and signed.)

Section 5. Unpaid Taxes (Describe in detail as to type, to whom payable, amount and date due, and to what property, if any, a tax lien attaches.)

Section 6. Other Liabilities (Describe in detail. Use attachments if necessary. Each attachment must be identified as part of this statement and signed.)

Section 7. Life Insurance Held (Give face amount and cash surrender value of policies, name of insurance company, and beneficiaries.)

By signing this form, I authorize the Small Business Opportunity Office at Regional Transportation District (RTD) to verify the accuracy of the statements made in order to determine whether I meet the personal net worth guidelines for participation in RTD's Small Business Enterprise (SBE) Program. These statements are true and correct to the best of my belief.

Printed/Typed Name:	Signature and Date:
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County of _____ State of _____ Subscribed and sworn before me this ____ day of _____, ____ . Signed _____ (Notary Public) _____ (Address of Notary)	NOTARY SEAL HERE
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