

**METROPOLITAN WASHINGTON
UNIFIED CERTIFICATION PROGRAM**

DDOT • 55 M Street S.E., 3rd Floor • Washington, D. C. 20003 • (202) 671-0479
WMATA • 600 Fifth Street, N. W., 3rd Floor • Washington, D. C. 20001 • (202) 962-6493



District Department of Transportation



RE: Metropolitan Washington Unified Certification DBE Program Three (3) Year
Review for Continued Certification Eligibility

Dear DBE Firm:

Your DBE certification anniversary date is near or has passed for triennial affidavit review. This notice is being sent as a courtesy reminder to your firm to respond to our request for information, in accordance with 49 CFR Parts 23 and 26. Documents for completion may be found and printed at <http://dbe.ddot.dc.gov>.

The following documents should be submitted:

- A completed and notarized "No Change Statement" or "Notice Regarding Change"
- Last three (3) years' business tax, balance sheets and personal tax returns of the disadvantaged owner.
- A copy of the DBE owner's completed Personal Financial Statement.
- A current copy of the DBE certification letter from the State in which (Home State) you reside if other than the District of Columbia and any other state certifications.
- A narrative description of any organizational and/or personnel changes that have occurred since your initial certification.
- The current number of employees on your payroll.
- A list of your firm's three largest contracts (project name) over the last three years and their dollar value.
- A list of NAICS Codes and description.

Please note that the items listed above are the only documents requested unless your organization has made changes in its By-Laws, Articles of Incorporation, or any other ownership documents during the last year.

This information must be submitted in its entirety to me as Chairperson of the Committee at the above address within **30 business calendar days** receipt of this notice, if it is the intention of your firm to continue participation in the DBE program. **PLEASE DO NOT BIND AND/OR STAPLE INFORMATION AND, WHERE POSSIBLE, AVOID LEGAL PAPER.** Should you have any questions regarding this matter, please contact Leutisha Stills, Equal Employment Opportunity Specialist, at 202-671-0479, or by email at leutisha.stills@dc.gov.

Your cooperation in this matter is greatly appreciated.

Sincerely,

Lisa M. Gregory, Esq

Lisa M. Gregory, Chief
Office of Civil Rights

**METROPOLITAN WASHINGTON
UNIFIED CERTIFICATION PROGRAM**

DDOT • 55 M Street S.E., 3rd Floor • Washington, D. C. 20003 • (202) 671-0479
WMATA • 600 Fifth Street, N. W., 3rd Floor • Washington, D. C. 20001 • (202) 962-6493



District Department of Transportation



NOTICE REGARDING CHANGE

Name of Firm: _____
Address: _____
Contact Person/Title: _____
Telephone: _____ **Fax No.:** _____
Email address: _____

THIS NOTICE MUST BE SUBMITTED WITHIN 30 DAYS OF ANY CHANGE IN CIRCUMSTANCES THAT AFFECT THE FIRM'S CERTIFICATION (49 CFR PART 26 and THE DDOT DBE PROGRAM)

Please be advised that the following changes have occurred within the firm since it submitted its application for certification or re-evaluation to the District Department of Transportation (DDOT).

1. PERSONAL NET WORTH

As of the ____ day of _____, 20__, the personal net worth of the following principal(s) is in excess of \$1.32 million dollars:

2. SIZE STANDARD

As of the ____ day of _____, 20__, the firm is no longer able to meet applicable size standards as indicated below:

Gross receipts from all sources of business, averaged over the past three years, now exceeds \$23.98 million dollars.

Gross receipts, averaged over the past three years, now exceeds NAICS codes limitations as follows:

3. DISADVANTAGED STATUS

As of the ____ day of _____, 20____, the firm is no longer able to meet disadvantaged status eligibility criteria for the following reasons:

4. OWNERSHIP

As of the ____ day of _____, 20____, the firm has had the following changes in ownership that affect its DBE status:

5. CONTROL

As of the ____ day of _____, 20____, the firm has had the following changes in control of the firm that affect its DBE status:

6. OTHER MATERIAL CHANGE

As of the ____ day of _____, 20____, the firm has had the following material changes that affect its DBE status:

One of the following attestations must be completed. Do NOT complete BOTH sections. The form must be signed in the presence of a notary public.

FOR AN UNSWORN STATEMENT:

I hereby declare, under penalty of perjury under the laws of the United States, that the foregoing information and information contained in any attachment hereto is true and accurate as of the stated date.

The foregoing attested to this _____ day of _____, 20____,
by _____, who holds the position of _____, with

Firm's Name

Signature

Social Security Number

FOR A SWORN STATEMENT:

State of _____

County of _____

Sworn to before me this ____ day of _____ 20 ____

Signature

Social Security Number

Notary Public:

Name _____

Signature _____

My commission expires on the ____ day of _____ Year (Notary Seal)



U.S. Department of
Transportation

**Personal Net Worth Statement
For DBE/ACDBE Program Eligibility**

As of _____

OMB APPROVAL NO:

EXPIRATION DATE:

This form is used by all participants in the U.S. Department of Transportation's Disadvantaged Business Enterprise (DBE) Programs. Each individual owner of a firm applying to participate as a DBE or ACDBE, whose ownership and control are relied upon for DBE certification must complete this form. Each person signing this form authorizes the Unified Certification Program (UCP) recipient to make inquiries as necessary to verify the accuracy of the statements made. The agency you apply to will use the information provided to determine whether an owner is economically disadvantaged as defined in the DBE program regulations 49 C.F.R. Parts 23 and 26. **Return form to appropriate UCP certifying member, not U.S. DOT.**

Name		Business Phone
Residence Address (As reported to the IRS) City, State and Zip Code		Residence Phone
Business Name of Applicant Firm		
Spouse's Full Name (Marital Status: Single, Married, Divorced, Union)		

ASSETS		LIABILITIES	
	(Omit Cents)		(Omit Cents)
Cash and Cash Equivalents	\$	Loan on Life Insurance (Complete Section 5)	\$
Retirement Accounts (IRAs, 401Ks, 403Bs, Pensions, etc.) (Report full value minus tax and interest penalties that would apply if assets were distributed today) (Complete Section 3)	\$	Mortgages on Real Estate Excluding Primary Residence Debt (Complete Section 4)	\$
Brokerage, Investment Accounts	\$	Notes, Obligations on Personal Property (Complete Section 6)	\$
Assets Held in Trust	\$	Notes & Accounts Payable to Banks and Others (Complete Section 2)	\$
Loans to Shareholders & Other Receivables (Complete section 6)	\$	Other Liabilities (Complete Section 8)	\$
Real Estate Excluding Primary Residence (Complete Section 4)	\$	Unpaid Taxes (Complete Section 8)	\$
Life Insurance (Cash Surrender Value Only) (Complete Section 5)	\$		
Other Personal Property and Assets (Complete Section 6)	\$		
Business Interests Other Than the Applicant Firm (Complete Section 7)	\$		
Total Assets	\$	Total Liabilities	\$
		NET WORTH	

Section 2. Notes Payable to Banks and Others

Name of Noteholder(s)	Original Balance	Current Balance	Payment Amount	Frequency (monthly, etc.)	How Secured or Endorsed Type of Collateral

Section 3. Brokerage and custodial accounts, stocks, bonds, retirement accounts. (Full Value) (Use attachments if necessary).				
Name of Security / Brokerage Account / Retirement Account	Cost	Market Value Quotation/Exchange	Date of Quotation/Exchange	Total Value

Section 4. Real Estate Owned (Including Primary Residence, Investment Properties, Personal Property Leased or Rented for Business Purposes, Farm Properties, or any Other Income Producing property). (List each parcel separately. Add additional sheets if necessary).			
	Primary Residence	Property B	Property C
Type of Property			
Address			
Date Acquired and Method of Acquisition (purchase, inherit, divorce, gift, etc.)			
Names on Deed			
Purchase Price			
Present Market Value			
Source of Market Valuation			
Name of all Mortgage Holders			
Mortgage Acc. # and balance (as of date of form)			
Equity line of credit balance			
Amount of Payment Per Month/Year (Specify)			

Section 5. Life Insurance Held (Give face amount and cash surrender value of policies, name of insurance company and beneficiaries).				
Insurance Company	Face Value	Cash Surrender Amount	Beneficiaries	Loan on Policy Information

Section 6. Other Personal Property and Assets (Use attachments as necessary)

Type of Property or Asset	Total Present Value	Amount of Liability (Balance)	Is this asset insured?	Lien or Note amount and Terms of Payment
Automobiles and Vehicles (including recreation vehicles, motorcycles, boats, etc.) Include personally owned vehicles that are leased or rented to businesses or other individuals.				
Household Goods / Jewelry				
Other (List)				
Accounts and Notes Receivables				

Section 7. Value of Other Business Investments, Other Businesses Owned (excluding applicant firm)

Sole Proprietorships, General Partners, Joint Ventures, Limited Liability Companies, Closely-held and Public Traded Corporations

Section 8. Other Liabilities and Unpaid Taxes (Describe)**Section 9. Transfer of Assets: Have you within 2 years of this personal net worth statement, transferred assets to a spouse, domestic partner, relative, or entity in which you have an ownership or beneficial interest including a trust? Yes No If yes, describe.**

I declare under penalty of perjury that the information provided in this personal net worth statement and supporting documents is complete, true and correct. I certify that no assets have been transferred to any beneficiary for less than fair market value in the last two years. I recognize that the information submitted in this application is for the purpose of inducing certification approval by a government agency. I understand that a government agency may, by means it deems appropriate, determine the accuracy and truth of the statements in the application and this personal net worth statement, and I authorize such agency to contact any entity named in the application or this personal financial statement, including the names banking institutions, credit agencies, contractors, clients, and other certifying agencies for the purpose of verifying the information supplied and determining the named firm's eligibility. I acknowledge and agree that any misrepresentations in this application or in records pertaining to a contract or subcontract will be grounds for terminating any contract or subcontract which may be awarded; denial or revocation of certification; suspension and debarment; and for initiating action under federal and/or state law concerning false statement, fraud or other applicable offenses.

NOTARY CERTIFICATE:

(Insert applicable state acknowledgment, affirmation, or oath)

Signature (DBE/ACDBE Owner)

Date

In collecting the information requested by this form, the Department of Transportation complies with Federal Freedom of Information and Privacy Act (5 U.S.C. 552 and 552a) provisions. The Privacy Act provides comprehensive protections for your personal information. This includes how information is collected, used, disclosed, stored, and discarded. Your information will not be disclosed to third parties without your consent. The information collected will be used solely to determine your firm's eligibility to participate in the Disadvantaged Business Enterprise (DBE) Program or Airport Concessionaire DBE Programs as defined in 49 C.F.R. Parts 23 and 26. You may review DOT's complete Privacy Act Statement in the Federal Register published on April 11, 2000 (65 FR 19477).



General Instructions for Completing the Personal Net Worth Statement for DBE/ACDBE Program Eligibility

Please do not make adjustments to your figures pursuant to U.S. DOT regulations 49 C.F.R. Parts 23 and 26. The agency that you apply to will use the information provided on your completed Personal Net Worth (PNW) Statement to determine whether you meet the economic disadvantage requirements of 49 C.F.R. Parts 23 and 26. If there are discrepancies or questions regarding your form, it may be returned to you to correct and complete again.

An individual's personal net worth according to 49 C.F.R. Parts 23 and 26 includes only his or her own share of assets held separately, jointly, or as community property with the individual's spouse and excludes the following:

- Individual's ownership interest in the applicant firm;
- Individual's equity in his or her primary residence;
- Tax and interest penalties that would accrue if retirement savings or investments (e.g., pension plans, Individual Retirement Accounts, 401(k) accounts, etc.) were distributed at the present time.

Indicate on the form, if any items are jointly owned. If the personal net worth of the majority owner(s) of the firm exceeds \$1.32 million, as defined by 49 C.F.R. Parts 23 and 26, the firm is not eligible for DBE or ACDBE certification. If the personal net worth of the majority owner(s) exceeds the \$1.32 million cap at any time after your firm is certified, the firm is no longer eligible for certification. Should that occur, it is your responsibility to contact your certifying agency in writing to advise that your firm no longer qualifies as a DBE or ACDBE. You must fill out all line items on the Personal Net Worth Statement.

If necessary, use additional sheets of paper to report all information and details. If you have any questions about completing this form, please contact one of the UCP certifying agencies.

Assets

All assets must be reported at their current fair market values as of the date of your statement. *Assessor's assessed value for real estate, for example, is not acceptable.* Assets held in a trust should be included.

Cash and Cash Equivalents: On page 1, enter the total amount of cash or cash equivalents in bank accounts, including checking, savings, money market, certificates of deposit held domestic or foreign. Provide copies of the bank statement.

Retirement Accounts, IRA, 401Ks, 403Bs, Pensions: On page 1, enter the full value minus tax and interest penalties that would apply if assets were distributed as of the date of the form. Describe the number of shares, name of securities, cost market value, date of quotation, and total value in section 3 on page 2.

Brokerage and Custodial Accounts, Stocks, Bonds, Retirement Accounts: Report total value on page 1, and on page 2, section 3, enter the name of the security, brokerage account, retirement account, etc.; the cost; market value of the asset; the date of quotation; and total value as of the date of the PNW statement.

Assets Held in Trust: Enter the total value of the assets held in trust on page 1, and provide the names of beneficiaries and trustees, and other information in Section 6 on page 3.

Loans to Shareholders and Other Receivables not listed: Enter amounts loaned to you from your firm, from any other business entity in which you hold an ownership interest, and other receivables not listed above. Complete Section 6 on page 3.

Real Estate: The total value of real estate excluding your primary residence should be listed on page 1. In section 4 on page 2, please list your primary residence in column 1, including the address, method of acquisition, date of acquired, names of deed, purchase price, present fair market value, source of market valuation, names of all mortgage holders, mortgage account number and balance, equity line of credit balance, and amount of payment. List this information for all real estate held. Please ensure that this section contains all real estate owned, including rental properties, vacation properties, commercial properties, personal property leased or rented for business purposes, farm properties and any other income producing properties, etc. Attach additional sheets if needed.

Life Insurance: On page 1, enter the cash surrender value of this asset. In section 5 on page 2, enter the name of the insurance company, the face value of the policy, cash surrender value, beneficiary names, and loans on the policy.

Other Personal Property and Assets: Enter the total value of personal property and assets you own on page 1. Personal property includes motor vehicles, boats, trailers, jewelry, furniture, household goods, collectibles, clothing, and personally owned vehicles that are leased or rented to businesses or other individuals. In section 6 on page 3, list these assets and enter the present value, the balance of any liabilities, whether the asset is insured, and lien or note information and terms of payments. For accounts and notes receivable, enter the total value of all monies owed to you personally, if any. This should include shareholder loans to the applicant firm, if those exist. If the asset is insured, you may be asked to provide a copy of the policy. You may also be asked to provide a copy of any liens or notes on the property.

Other Business Interests Other than Applicant Firm: On page 1, enter the total value of your other business investments (excluding the applicant firm). In section 7 on page 3, enter information concerning the businesses you

hold an ownership interest in, such as sole proprietorships, partnerships, joint ventures, corporations, or limited liability corporations (other than the applicant firm). Do not reduce the value of these entries by any loans from the outside firm to the DBE/ACDBE applicant business.

Liabilities

Mortgages on Real Estate: Enter the total balance on all mortgages payable on real estate on page 1.

Loans on Life Insurance: Enter the total value of all loans due on life insurance policies on page 1, and complete section 5 on page 2.

Notes & Accounts Payable to Bank and Others: On page 1, section 2, enter details concerning any liability, including name of noteholders, original and current balances, payment terms, and security/collateral information. The entries should include automobile installment accounts. This should not, however, include any mortgage balances as this information is captured in section 4. Do not include loans for your business or mortgages for your properties in this section. You may be asked to submit copy of note/security agreement, and the most recent account statement.

Other Liabilities: On page 1, enter the total value due on all other liabilities not listed in the previous entries. In section 8, page 3, report the name of the individual obligated, names of co-signers, description of the liability, the name of the entity owed, the date of the obligation, payment amounts and terms. Note: Do not include contingent liabilities in this section. Contingent liabilities are liabilities that belong to you only if an event(s) should occur. For example, if you

have co-signed on a relative's loan, but you are not responsible for the debt until your relative defaults, that is a contingent liability. Contingent liabilities do not count toward your net worth until they become actual liabilities.

Unpaid Taxes: Enter the total amount of all taxes that are currently due, but are unpaid on page 1, and complete section 8 on page 3. Contingent tax liabilities or anticipated taxes for current year should not be included. Describe in detail the name of the individual obligated, names of co-signers, the type of unpaid tax, to whom the tax is payable, due date, amount, and to what property, if any, the tax lien attaches. If none, state "NONE." You must include documentation, such as tax liens, to support the amounts.

Transfers of Assets:

Transfers of Assets: If you checked the box indicating yes on page 3 in this category, provide details on all asset transfers (within 2 years of the date of this personal net worth statement) to a spouse, domestic partner, relative, or entity in which you have an ownership or beneficial interest including a trust. Include a description of the asset; names of individuals on the deed, title, note or other instrument indicating ownership rights; the names of individuals receiving the assets and their relation to the transferor; the date of the transfer; and the value or consideration received. Submit documentation requested on the form related to the transfer.

Affidavit

Be sure to sign and date the statement. The Personal Net Worth Statement must be notarized

Department of Transportation

**METROPOLITAN WASHINGTON UNIFIED CERTIFICATION PROGRAM
DISADVANTAGED BUSINESS ENTERPRISE (DBE)
OFFICE OF CIVIL RIGHTS
55 M Street S.E. 3rd Floor
Washington, DC 20003**

NO CHANGE STATEMENT

Name of Firm: _____

Address: _____

Contact Person/Title: _____

Telephone: _____ Fax No.: _____ Email: _____

THIS NOTICE MUST BE SUBMITTED ANNUALLY ON THE ANNIVERSARY DATE OF THE FIRM'S CERTIFICATION. (49 CFR, Part 26 and the DDOT DBE Program)

The principal(s) of the above-mentioned firm affirm(s) that there have been no changes in the firm's circumstances affecting its ability to meet size, disadvantaged status, ownership or control requirements of 49 CFR Part 26 and the DBE Program or any material changes in the information provided on its application for certification compliance, except for changes made known to the District Department of Transportation (DDOT) pursuant to previously submitted Notices Regarding Change.

One of the following attestations must be completed by the individual that this statement pertains to. Do not complete both selections. **If this form is being completed on-line, the first option must be selected. If the second option is selected, the form must be signed in the presence of a notary public.**

FOR AN UNSWORN STATEMENT:

I/We hereby declare, under penalty of perjury under the laws of the United States that the foregoing information and information contained in any attachment hereto is true and accurate as of the stated date.

The foregoing attested to this _____ day of _____, 20__ by:

Name	Signature	SSN
Name	Signature	SSN
Name	Signature	SSN
Name	Signature	SSN
Name	Signature	SSN

Name

Signature

SSN

FOR A SWORN STATEMENT:

State of _____)

County of _____)

Sworn to before me this ____ day of _____ 20__.

Name

Signature

SSN

Name

Signature

SSN

Name

Signature

SSN

Name

Signature

SSN

Name

Signature

SSN

Name

Signature

SSN

Notary Public:

Name

Signature

My commission expires on the ____ day of _____ 20__.

(Notary Seal)

PLEASE LIST THE FIRM'S THREE LARGEST CONTRACTS OVER THE LAST THREE YEARS:

NAME OF PRIME CONTRACTOR & CONTACTOR'S PHONE NUMBER	NAME & LOCATION OF PROJECT	DESCRIPTION OF WORK & NAICS Codes	PROJECT START DATE	ANTICIPATED COMPLETION DATE	DOLLAR VALUE OF CONTRACT

DBE Applicant Firm's Name: _____