

## **Checklist for the New Schedule A**

- **Application must be signed by an Authorized Officer of the Firm and Notarized.**

### **I. - SECTION**

- If check “Other Socially Disadvantage Group,” (Attachment 4)
- Documents such as agreements, letters or engagement, etc. which detail the scope of services, term and compensation for every contract listed and the first and last purchase order/invoices associated with each contract.
- Current Organization Chart.
- All issued and canceled stock certificates (both sided), stock ledgers for the prior 3 years, any documentation limiting ownership rights, and any profit-sharing agreements.
- All buy-out agreements

### **II - CERTIFICATION HISTORY**

- Correspondence from the City of Chicago and/or other government entities documenting certification application outcome/final determination and an explanation of the basis for denial if such documentation exists.
- Decertification documentation
- Debarment documentation

### **III - OWNERSHIP INFORMATION**

- **Applicable documents:**
- Assumed Name Certificate
- Stamped Article of Incorporation, Organization, or Association, or Certificate of Limited Partnership or applicable organizing document(s)
- Original and any amended Corporate By-Laws
- Corporate/Board or Directors Meeting Minutes (first and two most recent)
- Note: Include the minute in which the current slate of officers and directors were elected.
- Operating Agreement
- Partnership Agreement
- Certificates of Membership
- Proof of non-profit status (not an option for M/WBE Applicant firms)
- Individual Ownership Statement (Attachment 1) – for each owner
- Personal Net Worth Statement (Attachment 2) – for each owner
- If needed, separate compensation schedules for each owner and any agreements detailing a different compensation arrangement in the future.
- Franchise Agreements
- Any optional additional documents such as corporate correspondence, employee hiring and termination letters, a signed letter detailing the owner’s role in the firm, or other records that demonstrate: (1) that the firm’s qualifying owner(s) possess(es) the power to direct the management, policies and objectives of the firm and to make all substantive day-to-day decisions of the firm and manage its essential operations, and (2) that the owner(s) maintain(s) full time participation in the management of the company’s day-to-day decision and operations.

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### IV - EMPLOYEE INFORMATION

- Most recent 4 weeks of payrolls, including all employee and management
- If needed, separate compensation schedules for each officer, director and/or person in senior management and any agreements detailing a different compensation arrangement in the future.
- A table or list identifying any full time or part time employees who have worked in the trades in the last year, specifying which trades and the number of employees in each trade.
- A table or list identifying any seasonal or contract employees who have worked in the trades, specifying which trades and the number of employees in each trades (document the most active period in the last year using a minimum of 4 months to date).

### V - FACILITY INFORMATION

- Lease agreements (with contact information for the landlord), including a copy of the most recent lease payment.
- Proof of ownership (deed, mortgage agreement or property tax bill)

### VI - FINANCIAL INFORMATION

- Most recent bank statement for all account(s) used by the firm
- All bank signature card(s) and/or corporate resolution regarding access to accounts and signatory (ies).
- Three years of W-2 or 1099 forms for each employee who met the specified earning threshold (#8).
- Three years of federal and state corporate tax returns for Applicant firm and all **Affiliates** or, if not applicable.
- Three years of the most recent U.S. individual income tax returns including ALL attachments and schedule.
- Three years of the highest level of financial statement available: audited, reviewed, or compiled, including a balance sheet and a statement of income prepared by an independent certified public accountant. – **Note:** If these documents do not exist, the Applicant firm must certify that the fact and provide a written explanation along with whatever financial document are available.
- Loan Agreements from the last three years for amount greater than or equal to \$10,000.
- Line of Credit and/or Letters of Credit.
- Documents that outline bond limits
- Certificate of Insurance

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### **VII – LICENSES AND REGISTRATIONS**

- All current business licenses, permits, and/or pending applications
- All listed current individual licenses, permits, certificates, and/or pending applications.

### **VIII - EQUIPMENT INFORMATION**

- Title and purchase documentation if owned
- Lease agreements with proof of most recent payment if leased

### **IX – INVENTORY**

- If applicable, all inventory (description, quality, value) held by Applicant firm during the last six months that was intended for sale, not internal use.
- If applicable, documentation in support of supplier and/or distributor status as stated in Attachment 3 (Policy Regarding M/WBE Certification as a Supplier, Distributor and/or Broker).

### **SERVICE AGREEMENTS**

- All service agreements and letter of engagement

### **ADDITIONAL INFORMATION**

- Proof of citizenship (birth certificate, drive license, etc)
- Resume (Owner, Director, Officer, Manager, any Stock holder)
- Proof of initial contribution
- Current Balance Sheet (Asset and Liabilities) plus previous 2 years
- Copy of signed Loan Agreements