

**N.C. DEPARTMENT OF ADMINISTRATION
OFFICE FOR HISTORICALLY UNDERUTILIZED BUSINESSES**

1336 Mail Service Center, Raleigh, NC 27699-1336 • (919) 807-2330 • Fax (919)-807-2335

Website: www.doa.nc.gov/hub • Email Address: huboffice.doa@doa.nc.gov



Statewide Uniform Certification Program

Statewide Uniform Certification Application

Thank you for your interest in becoming certified as a HUB firm with the State of North Carolina under the Statewide Uniform Certification Program (SWUC). Per N.C. General Statute 143-128.4, to qualify as a historically underutilized business, a business must be at least 51% owned, controlled and managed by one or more citizens or lawful permanent residence of the United States who are members of one or more of the following groups: (1) Black, (2) Hispanic, (3) Asian American, (4) American Indian, (5) Female, (6) Disabled and (7) Disadvantaged.

The Office for Historically Underutilized Businesses will request documentation based on your business structure to determine your eligibility for certification as a historically underutilized business. All applicants are required to submit this application as part of the required documentation.

To initiate the HUB Certification Process: (1) Complete the SWUC Application (2) Gather required documents based on your business structure, (3) Complete an online HUB Certification Request www.doa.nc.gov/hub and (4) Mail your completed package to the address above.

To initiate HUB Re-Certification or HUB Update: (1) Login to your current vendor profile in the Vendor Link system, (2) Select *Update HUB Information* and (3) Click on *Add/Modify HUB Information*. Applicants for Re-Certification must complete a new SWUC Application and submit the required documents.

Section 1. General Information

Name of Firm	
Contact Name	Title
Business Phone #	Cell Phone #
Fax #	Pager #
Website	Email Address
Addresses	
Physical (no post office boxes)	Mailing (only if different from physical address)
County	

Section 2. Company's Information

Firm's Identification	
Legal Name of Firm	
Unique Identifier for firm (Select One) <input type="checkbox"/> FEIN _____ <input type="checkbox"/> DUNS _____ <input type="checkbox"/> OTHER _____	Method of Acquisition <input type="checkbox"/> Started new business <input type="checkbox"/> Bought existing business <input type="checkbox"/> Merger or consolidation <input type="checkbox"/> Inherited business <input type="checkbox"/> Other

Firm's Profile

Business structure

Corporation (including PLLC)
 Date Firm was established

Limited Liability Company

Partnership (including LLP)

Sole Proprietorship

Firm's Relationship with Other Businesses

Is your firm co-located at any of its business locations with any other business, organization, or entity? If yes, who?

Does your firm, at any of its business locations, share a phone number, P.O. box, office space, yard, warehouse, facilities, equipment or office staff with any other business, organization, or entity? If yes, who?

Do any of your immediate family members own or manage another company? If yes, explain.

Has any other firm had an ownership interest in your firm at present or at any time in the past?

At present, or at any time in the past, has your firm:

- Been a subsidiary of another firm? Y or N
- Consisted of a partnership in which one or more of the partners are other firms? Y or N
- Owned a percentage of another firm? Y or N
- Had any subsidiaries? Y or N
- Operated under a franchise agreement? Y or N

Section 3. Ownership Information (Ownership percentages must total 100)
 If there are more than two owners, attach a separate sheet.

Owner #1

Name	Title	Contact Phone #
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Ethnicity: <input type="checkbox"/> Black <input type="checkbox"/> Hispanic <input type="checkbox"/> Asian American <input type="checkbox"/> American Indian	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female	Disabled <input type="checkbox"/> Yes <input type="checkbox"/> No Disadvantaged (currently certified) <input type="checkbox"/>	Are you a U.S. Citizen or permanent resident alien of the U.S.? <input type="checkbox"/> Yes <input type="checkbox"/> No
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Percentage of ownership	Date applicant acquired ownership	Initial Investment to Acquire Ownership <input type="checkbox"/> Cash: \$ _____ <input type="checkbox"/> Real Estate: \$ _____ <input type="checkbox"/> Equipment: \$ _____ <input type="checkbox"/> Expertise: \$ _____
# of shares owned		

Are you related by blood or marriage to any of the other owners? If yes, who?

Do you own any other businesses?

Do you perform a supervisory or management function for another firm?

Do you work for any company, organization or entity that has a relationship with this firm?

Identify the daily management functions for which you are responsible by placing a check mark in the appropriate box below:

<input type="checkbox"/> Financial Decision making	<input type="checkbox"/> Office Management
<input type="checkbox"/> Hiring/Firing of management personnel	<input type="checkbox"/> Field/Production Operations/Supervisor
<input type="checkbox"/> Estimating and Bidding	<input type="checkbox"/> Purchasing of Major Equipment
<input type="checkbox"/> Marketing / Sales	<input type="checkbox"/> Negotiating and Contract Execution
<input type="checkbox"/> Authorized to make Financial Transactions	<input type="checkbox"/> Authorized to Sign Company Checks (For any purpose)

Owner #2

Name	Title	Contact Phone #
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Ethnicity: <input type="checkbox"/> Black <input type="checkbox"/> Hispanic <input type="checkbox"/> Asian American <input type="checkbox"/> American Indian	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female	Disabled <input type="checkbox"/> Yes <input type="checkbox"/> No Disadvantaged (currently certified) <input type="checkbox"/>	Are you a U.S. Citizen or permanent resident alien of the U.S.? <input type="checkbox"/> Yes <input type="checkbox"/> No
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Percentage of ownership	Date applicant acquired ownership	Initial Investment to Acquire Ownership <input type="checkbox"/> Cash: \$ _____ <input type="checkbox"/> Real Estate: \$ _____ <input type="checkbox"/> Equipment: \$ _____ <input type="checkbox"/> Expertise: \$ _____
# of shares owned		

Are you related by blood or marriage to any of the other owners? If yes, who?

Do you own any other businesses?

Do you perform a supervisory or management function for another firm?

Do you work for any company, organization or entity that has a relationship with this firm?

Identify the daily management functions for which you are responsible by placing a check mark in the appropriate box below:

<input type="checkbox"/> Financial Decision making	<input type="checkbox"/> Office Management
<input type="checkbox"/> Hiring/Firing of management personnel	<input type="checkbox"/> Field/Production Operations/Supervisor
<input type="checkbox"/> Estimating and Bidding	<input type="checkbox"/> Purchasing of Major Equipment
<input type="checkbox"/> Marketing / Sales	<input type="checkbox"/> Negotiating and Contract Execution
<input type="checkbox"/> Authorized to make Financial Transactions	<input type="checkbox"/> Authorized to Sign Company Checks (For any purpose)

List all contributions or transfers of assets to/from your firm and to/from any of its owners over the past two years (*attach additional sheets if needed*):

Contribution/Asset	Dollar Value	From Whom Transferred	To Whom Transferred	Relationship	Date of Transfer
1.					
2.					
3.					

Section 4. Control

A. Officers and Board of Directors

Identify your firm's Officers & Board of Directors (If additional space is required, attach a separate sheet):

	Name	Title	Date Appointed	Ethnicity	Gender
1. Officers of the Company	(a)				
	(b)				
	(c)				
	(d)				
	(e)				
2. Board of Directors	(a)				
	(b)				
	(c)				
	(d)				
	(e)				

3. Do any of the persons listed above perform a management or supervisory function for any other business? Yes No If Yes, identify for each:
 Person: _____ Title: _____
 Business: _____ Function: _____

4. Do any of the persons listed above own or work for any other firm(s) that has a relationship with this firm (e.g., ownership interest, shared office space, financial investments, equipment, leases, personnel sharing, etc.)? Yes No If Yes, identify for each:
 Firm Name: _____ Person: _____
 Nature of Business Relationship: _____

B. Daily Management Functions)

Identify your firm's management personnel (non-owners) who control your firm in the following areas (If more than two persons, attach a separate sheet):

	Name	Title	Ethnicity	Gender
(1) Financial Decisions (responsibility for acquisition of lines of credit, surety bonding, supplies, etc.)	a.			
	b.			
(2) Estimating and bidding	a.			
	b.			
(3) Negotiating and Contract Execution	a.			
	b.			
(4) Hiring/firing of management personnel	a.			
	b.			
(5) Field/Production Operations Supervisor	a.			
	b.			
(6) Office management	a.			
	b.			
(7) Marketing/Sales	a.			
	b.			
(8) Purchasing of major equipment	a.			
	b.			
(9) Authorized to Sign Company Checks (for any purpose)	a.			
	b.			
(10) Authorized to make Financial Transactions	a.			
	b.			

(11) Does your firm rely on any other firm for management functions or employee payroll? yes no
 If yes, explain.

