

BUSINESS CERTIFICATION ORGANIZATIONS AND SUMMARY INSTRUCTIONS

SMALL BUSINESS: To determine if your company is a small business, identify the applicable North American Industry Classification System (NAICS) category that fits your organization. Once you have identified the NAICS category that describes your business, check the size standard that is listed for that category to determine if you fit into the small business definition. Small Business Administration Offices located in each state can assist you in determining the NAICS category that best fits your business and understanding the size standards. Go to www.sbaonline.sba.gov/regions/states.html and click on “Local Resources.” Then click on your state to find the nearest SBA office.

A list of the categories frequently used by subcontractors and vendors to Southwest Alliance are below:

- Plumbing, Heating and Air-Conditioning Contractors (NAICS #235110, size standard \$11.5 million)
- Painting and Wall Covering Contractors (NAICS #235210, size standard \$11.5 million)
- Electrical Contractors (NAICS #235310, size standard \$11.5 million)
- Drywall, Plastering, Acoustical and Insulation Contractors (NAICS #235420, size standard \$11.5 million)
- Carpentry Contractors (NAICS #235510, size standard \$11.5 million)
- Floor Laying and Other Floor Contractors (NAICS #235520, size standard \$11.5 million)
- Roofing, Siding and Sheet Metal Contractors (NAICS #235610, size standard \$11.5 million)
- Glass and Glazing Contractors (NAICS #235920, size standard \$11.5 million)
- Wrecking and Demolition Contractors (NAICS #235940, size standard \$11.5 million)
- Offices of Real Estate Agents and Brokers (NAICS #531210, size standard \$1.5 million excluding funds received in trust)
- Residential Property Managers (NAICS #531311, size standard \$1.5 million)
- Offices of Real Estate Appraisers (NAICS #531320, size standard \$1.5 million)
- Other Activities Related to Real Estate, such as home inspectors (NAICS #531390, size standard \$1.5 million)
- Locksmiths (NAICS #561622, size standard \$5 million)
- Exterminating and Pest Control Services (NAICS #561710, size standard \$5 million)
- Landscaping Services (NAICS #561730, size standard \$5 million)
- Carpet and Upholstery Cleaning Services (NAICS #561740, size standard \$3.5 million)
- Other Services to Buildings and Dwellings (NAICS #561790, size standard \$5 million)
- Solid Waste Collection (NAICS #562111, size standard \$10 million)

SMALL DISADVANTAGED BUSINESS: To determine if your company is a small disadvantaged business, your business must be owned by one or more disadvantaged individuals with a net worth of each person, upon whom the certification is based of \$750,000 or less, taking into account the exclusions allowed by the federal government. The Small Business Administration Offices located in each state can assist you in understanding the criteria for small disadvantaged businesses. To locate the nearest SBA office to you, go to www.sbaonline.sba.gov/regions/states.html and click on “Local Resources,” then your state.

VETERAN-OWNED BUSINESS: A veteran-owned business is one that is 51 percent or more owned by one or more veterans, and the management and daily business operations of which are controlled by one or more veterans. If you have an “other than dishonorable discharge” from the U.S. Armed Services, or, for National Guard or Reservists, were activated to Federal Duty, you have veteran status.

SERVICE-DISABLED VETERAN-OWNED BUSINESS: A service-disabled veteran-owned business is a small business that is owned, operated and controlled by (1) one or more service-disabled veterans, or (2) in the case of a publicly-owned business, 51 percent of the stock of the company is owned by one or more service-disabled veterans, or (3) in the case of a veteran with permanent and severe disability, the spouse or permanent caregiver of such veteran. A service-disabled veteran means a veteran with a disability that is service-connected. There is no minimum disability rating required for this certification. Go to www.vetbiz.gov/library/eligible.htm for information on eligibility criteria.

HUBZONE QUALIFIED BUSINESS: To qualify as a HUBZone business, a business must be a small business by SBA size standards (see small business section above), its principal office must be located within a HUBZone, 35 percent or more of its employees must reside in a HUBZone, and it must be owned and controlled by one or more U.S. citizens. To locate a HUBZone in your area, go to www.sba.gov/hubzone and click on “Are You in a HUBZone” and search the system by state, county or a specific address.

WOMAN-OWNED BUSINESS: For certification as a woman-owned business by the Women’s Business Enterprise National Council (WBENC) through its 14 regional affiliates, a business must be at least 51 percent owned, operated and controlled by one or more women of U.S. citizenship. Proof of effective management of the business (operating position, by-laws, and other decision-making role) is required as well as proof of control of the business as evidenced by signature role on loans, leases and contracts. You are not required to be a small business to be certified as a woman-owned business. Contact the Women’s Business Enterprise National Council at www.wbenc.org for instructions on their online application process and a list of the 14 regional certification organizations which handle certification in the 50 states.

MINORITY-OWNED BUSINESS: For certification as a minority-owned business by the National Minority Supplier Development Council (NMSDC) through its 39 regional affiliates, a business must be at least 51 percent owned, operated and controlled by

minority group members who are U.S. citizens and who demonstrate the capability to perform a line of business and provide a commercially useful business function according to customs and practices of the industry. The controlling interest in a company represented to be minority-owned must be citizens of the U.S. who are Black (origin from any of the Black racial groups of Sub-Sahara Africa); Hispanic (origin from Latin America, Mexico, Puerto Rico, Cuba, Central and South American, or Hispanic cultures or descents); Native American (origin from any of the American and Alaskan Indian, Eskimo, Aleut, or Native Hawaiian tribes or bands . . . all American and Alaskan Indians must be documented members of a federally recognized tribal entity); Asian-Pacific (origin from Japan, China, the Philippines, Vietnam, Korea, Samoa, Guam, Laos, Cambodia, Taiwan, Thailand, Indonesia, and the U.S. Trust Territories of the Pacific or the Northern Marianas); or Asian-Indian (origin is from India, Pakistan or Bangladesh). You are not required to be a small business to be certified as a minority-owned business. Contact the National Minority Supplier Development Council (NMSDC) at www.nmsdcus.org for instructions on online certification through one of their 39 regional affiliates which handle certification in the 50 states and Puerto Rico.

DISABLED BUSINESS ENTERPRISE: A Disabled Business Enterprise is any for-profit business, regardless of size, located in the U.S. or its trust territories, that is at least 51 percent owned, operated and controlled by an individual(s) with a permanent mental or physical impairment that substantially limits one or more of the major life activities and which has a significant negative impact on the company's ability to successfully compete. The ownership and control shall be real and continuing and not created solely to take advantage of special or set-aside programs aimed at supplier diversity. Due to the absence of a certifying agency for this category of business owners, the owner must complete an affidavit and provide supporting documentation to be eligible for consideration as a Disabled Business Enterprise. Contact Debbie Goodin at dgoodin@firstpreston.com for the affidavit packet.

NOTE: In addition to the certifying organizations listed above, many states also provide certification as minority-owned or woman-owned businesses. State certifications may often be obtained through a State Department of Commerce, State Economic Development Agency, or State Small Business office. Please visit your state's web site for information on state business certifications.



Southwest Alliance of Asset Managers

Name of Business: _____

Business Certification Survey

Attention Real Estate Agents and Brokers, Appraisers, Property Management Professionals (i.e. lawn maintenance, pest control and other property maintenance contractors). Government clients utilizing Southwest Alliance's management and marketing services require specific information on the businesses involved in the maintenance and sale of their properties. If you are a broker, agent, appraiser or contractor interested in providing listing, sales or property maintenance services to Southwest Alliance, please complete and submit the following information:

1. SMALL BUSINESS

- a) Is your business a small business concern as defined by the Small Business Act and the regulations contained in 13 C.F.R. Part 121? ___Yes ___No

2. SMALL DISADVANTAGED BUSINESS

- a) Has your business been certified as a small disadvantaged business consistent with the requirements of 13 C.F.R. 124, Subpart B? ___Yes ___No
- b) Has your business avoided any material change in its disadvantaged ownership and control since its certification? ___Yes ___No
- c) If your business is owned by one or more disadvantaged individuals, is the net worth of each individual, upon whom the certification is based, \$750,000 or less after taking into account the exclusions in 13 C.F.R. 124.104(c)(2)?
___Yes ___No ___ Not applicable
- d) Is your business currently identified as a certified small disadvantaged business in the PRO-Net database maintained by the Small Business Administration (SBA) at www.pronet.sba.gov? ___Yes ___No
- e) If you answered yes to question 2d above, what is the full and exact name under which your business appears in the PRO-Net data base? _____
- f) Is your business a current participant in the Small Business Administration (SBA) 8(a) program? ___Yes ___No

3. VETERAN-OWNED BUSINESS

- a) Is your company at least 51 percent owned, managed and controlled by a veteran(s)? The definition of “veteran” is provided in 38 U.S.C. 101(2). ___Yes ___No

4. SERVICE-DISABLED VETERAN-OWNED BUSINESS ENTERPRISE (DVE)

- a) Is your company at least 51 percent or more owned, operated and controlled by a service-disabled veteran? Service-disabled veteran means a veteran, as defined in 38 U.S.C. 101(2), with a disability that is service-connected, as defined in 38 U.S.C. 101(16). ___Yes ___No
- b) Has your company been certified as a Disabled Veteran Business Enterprise (DVE) by a certifying organization(s)? ___Yes ___No
- c) Provide the name of the certifying organization, certification number and expiration date of the certification for each DVE certification your company has obtained.

National Certifying Organization: Association of Service Disabled Veterans
Expiration Date _____ Certification # _____
Other Certifying Organization _____
Expiration Date _____ Certification # _____

5. HUBZONE QUALIFIED BUSINESS

- a) Is your business currently on the List of Qualified HUBZone Small Business concerns maintained by the Small Business Administration at www.sba.gov/HUB? ___Yes ___No

6. WOMAN-OWNED BUSINESS ENTERPRISE (WBE)

- a) Is your company at least 51 percent owned, managed and controlled by one or more women of U.S. Citizenship? ___ Yes ___No
- b) Has your company been certified as a woman-owned enterprise (WBE) by any of the certifying organization(s)? ___Yes ___No
- c) Provide the name of the certifying organization, certification number and the expiration date of the certification for each WBE certification your company has obtained:

National Certifying Organization _____
Expiration Date _____ Certification # _____
Regional Certifying Organization _____
Expiration Date _____ Certification # _____
State Certifying Organization _____
Expiration Date _____ Certification # _____
Local Certifying Organization _____
Expiration Date _____ Certification # _____

Other Certifying Organization _____

Expiration Date _____

Certification # _____

7. MINORITY-OWNED BUSINESS ENTERPRISE (MBE)

- a) Is your company at least 51 percent owned, managed and controlled by a member(s) of a minority group of U.S. Citizenship? ___Yes ___No

If yes, please indicate which of the following group(s) apply to the owner(s)

- **Asian American** (origins are from India, Pakistan or Bangladesh)
- **Asian Pacific American** (origins are from Japan, China, Taiwan, Korea, Vietnam, Laos, Cambodia, the Philippines, Samoa, Guam, the U.S. Trust Territories of the Pacific or the Northern Marianas)
- **Black** (origins are from any of the black racial groups of Africa)
- **Hispanic** (origins are from Mexico, Central America, South America, and the Caribbean Basin)
- **Native American** (origins are American Indian, Eskimo, Aleut, Native Hawaiian or North American Tribe)

- b) Has your company been certified as a Minority-Owned Business Enterprise (MBE) by any certifying organization(s)? ___Yes ___No.

- c) Provide the name of the certifying organization, the certification number and the expiration date for each MBE certification your company has obtained:

National Certifying Organization _____

Expiration Date _____

Certification # _____

Regional Certifying Organization _____

Expiration Date _____

Certification # _____

State Certifying Organization _____

Expiration Date _____

Certification # _____

Local Certifying Organization _____

Expiration Date _____

Certification # _____

Other Certifying Organization _____

Expiration Date _____

Certification # _____

8. DISABLED BUSINESS ENTERPRISE (DBE)

- a) Is your company at least 51 percent or more owned, operated and controlled by a person(s) with a permanent physical or mental impairment that substantially limits one or more of the major life activities and which has a significant impact on the company's ability to compete? ___Yes ___No

There is no certifying agency for this category of business owners, but the DBE's must complete an affidavit and provide supporting documentation to be considered eligible for this designation. The affidavit packet can be obtained by contacting the Business Certification Director at this email address:

BusinessCertifications@Southwestalliance.com

CERTIFICATION

I certify that the above information is current, complete and accurate. I understand that if any of the above information changes after I submit this certification form, I must inform Southwest Alliance of the change.

(Please print)

Submitted by: _____ Position: _____

Company Name: _____ Date: _____

Company Address: _____ City, State, Zip _____

Telephone Number: _____ Fax: _____

Email Address: _____

Please indicate if you are a member of:

- NAREB (National Association of Real Estate Brokers)**
- NAHREP (National Association of Hispanic Real Estate Professionals)**
- NAR (National Association of REALTORS®)**