

Supplier Diversity Program  
Required Hard Copy Documentation

The following is a list of hard copy documentation that must be submitted with your application for the Supplier Diversity Program. Your application will not be considered complete until all required documentation has been received by DAS. Unsolicited information received from the applicant will not be considered, returned or retained.

**Required hard copy documents must be mailed to:**  
**State Of Connecticut**  
**DAS- Supplier Diversity Program 5<sup>th</sup> FL. South**  
**165 Capitol Ave.**  
**Hartford, CT 06106-1659**

Note: DAS reserves the right to request additional or supporting documentation.

### **Non-Profit Organization:**

- Documentation will be requested to support ownership/management control upon the Supplier Diversity Reviewer.
- Articles of Organization (If applicable):**  
This document must be filed with the State of Connecticut Secretary of State's Office to establish legal recognition as a LIMITED LIABILITY COMPANY (LLC). We will attempt to obtain this information from the Office of the Secretary of State. If we are unable to verify this filing, we will request further information or clarification from you...
- By-Laws & Any Amendments (If applicable):**  
By-Laws dictate the operating standards and procedures that a corporation will follow throughout its life as a business entity. This document is usually created when the corporation is formed, and outlines company structure as well as authority in the control of the direction and affairs of the corporation. A signed notarized copy is required.
- Certificate Of Incorporation (If applicable):**  
This document confirms company as a legal entity and is filed with the Office of the Secretary of State. We will attempt to obtain this information from the Office of the Secretary of State. If we are unable to verify this filing, we will request further information or clarification from you.
- Fiscal Year Federal Tax Returns:**  
A copy of the entire tax document is required. The company will not be required to submit a Federal Tax Return if the company indicates they have not filed a Federal Tax Return because the company is a DORMANT Company: The company must indicate in writing they have considered the company dormant for the past fiscal year. IRS or IRS-interim tax-exempt certification letter for a 501 (c)(3) or 501 (c)(4) organization

- Minutes of Most Recent Year's Annual Meeting (If applicable):** optional at request of reviewer  
Please provide a copy of the minutes of your most recent annual meeting. If your company does not hold annual meetings, please send a statement on your company letterhead requesting a waiver of this requirement. Annual meetings are considered an important aspect of good business practice for all businesses with more than one owner.
- Organization & First Annual Report (If applicable):**  
This document establishes the structure of the organization and is filed with the Office of the Secretary of State. We will attempt to obtain this information from the Office of the Secretary of State. If we are unable to verify this filing, we will request further information or clarification from you.
- Sales & Use Tax Permit:**  
Please ensure you have completed the online section related to Sale and Use Tax Permit. If not applicable, please indicate this in the box labeled NA. For information on permits contact the Department of Revenue Services at (800) 382-9463.
- Stock Certificates & Stock Transfer Ledger (If applicable):**  
Stock Certificates & Stock Transfer Ledger is a legal document that certifies ownership of a specific number of stock shares in a corporation. We require both sides of the stock certificate. If no stocks were issued a letter on company letterhead must be included that states this.
- Current resumes:** of the Executive Director, Board of Directors/Trustees, Officers and key employees
- List of all members of the board of directors/ trustees:** identify gender, ethnicity, term expiration date and total number of years served on the board.

### **Additional Documents may apply to your company :**

- Broker Agreement:** *Provide only if company is a Broker.*  
A legal agreement between an agent (someone who negotiates contracts, purchases, or sales in return for a fee or commission) and another individual or company, that outlines in detail each party's responsibilities and obligations. If no broker agreement exists, please send a statement on your company letterhead requesting a waiver of this requirement.
- Beneficial Interest Document for Majority Owner(s):** *Provide only if the Federal Tax Return provided does not indicate compensation of officers/owners.*  
Provide written documentation to support: The eligible principal(s) have the right to and actually receive the level and kind of profit, benefits and customary incidents of ownership, if any, are commensurate with the level and kind of ownership reflected in the ownership documents. The eligible principal(s) must be at risk for, and actually incur losses, if any, of the business enterprise in the manner and to the extent which is commensurate with the level and kind of ownership reflected in the

ownership documents. The eligible principal's (s') ownership must be continuing and the certification criteria must be met in substance as well as form.

Please Note: Profits, dividends, salaries, debt repayments, retained earnings and distributions of any kind (including distributions upon liquidation) are included among all of the indicators. This documentation can be in the form of a written narrative.

**Business Purchase Documents:** *Provide only if company was purchased.*

Provide documents to show how owner(s) initiated business. Businesses over seven (7) years old may document initial contribution with an affidavit. The affidavit must detail the source and type of contribution and the approximate dollar amount of the contribution. All affidavits must be signed and notarized.

**Company Changes:** *Provide only if company changes have occurred.*

Please submit all documents supporting the company's change in ownership or management personnel. Documents include transfer of ownership, dissolution documents, meeting minutes, addendums to by-laws or operating agreements, etc.

**Franchise Document:** *Provide only if franchise.*

A legal contract between a franchisor and franchisee that outlines in detail the specific obligations and responsibilities of each party involved in the agreement. The franchise agreement will usually specify the given territory the franchisee retains exclusive control over, royalties or fees that will be paid to the franchisor, standards that must be adhered to, as well as the extent to which the franchisee will be supported by the franchisor.

**Licenses, Permits and/or Public Utility Control Leases:**

Please send a copy of your current license(s) for the name(s) listed.

**Majority Owner Involvement:** *This document must be provided if you have not provided detailed information in the personnel section #11 of the application.*

It is a requirement of the program, that the majority owner has the ability to perform, or has substantial knowledge of any "Goods or Services" that the business provides and is applying for certification in. Please provide documentation to substantiate this.

Notes: The majority owner(s) must actively participate in the daily activities of the enterprise and exercise control over the daily decision making activities. Daily active participation and operational control by the identified majority owner shall be evidenced by activities such as: having the demonstrable background and technical competence necessary to weigh all advice given and to make independent and unilateral determinations relating to the activities engaged in by the applicant, including key determinations relating to the day to day work of employees and workforce involved operationally and technically in the specific endeavors which generate the applicant's revenues. (a) responsibility for the independent and unilateral business decisions and that he/she independently makes basic decisions in daily operations. (b) making key determinations relating to the day-to-day work of employees. (c) having dominant control over the solicitation and negotiation of contracts, marketing, estimating, and offering and acceptance or rejection of bids, and (d) having dominant control over the purchase of goods, equipment, business inventory and service needed in the day-to-day operation of the applicant. (e) not being engaged in other business or professional pursuits which preclude him/her

from devoting what would be reasonably deemed an adequate amount of time to conduct the operation of the business; (f) barring extenuating circumstances, being the sole or one of the required signatories on the enterprise checks, invoices, and contracts; (g) being actively involved in the preparation and negotiation of bids and contracts for the enterprise; (h) having substantial control over the hiring , promotion and firing of the employees of the enterprise; (i) substantial supervision of jobs that the enterprise undertakes, both on and off the job site; Please provide documentation to further clarify and substantiate each of the above requirements

**Minority Affiliation Documents:** *If you apply for minority certification, provide one of the following.*

Birth Certificate (long form)

Other government document that clearly shows minority affiliation

\* Birth Certificates issued from Puerto Rico prior to July 1, 2010 will not be acceptable documentation. The birth certificate must be issued after July 1, 2010 per requirements stated on the following website.

<http://www.prfaa.com/birthcertificates/>

Tribal membership/license or identification, for individuals of Native American descent

As Defined by CGS 4a-60g as amended by Public Act 07-04, an individual with a disability means: "Individual with a disability" means an individual (A) having a physical or mental impairment that substantially limits one or more of the major life activities of the individual, or (B) having a record of such impairment.

**Sales & Use Tax Permit:**

Please ensure you have completed the online section related to Sale and Use Tax Permit. If not applicable, please indicate this in the box labeled NA. For information on permits contact the Department of Revenue Services at (800) 382-9463.

**Shared Resources:**

*If your company shares resources, provide documentation related to the shared resources that clearly shows how the sharing of resources such as office space, yard space, employees or equipment is facilitated between the applying company and any other companies. Explain how costs such as rent, mortgage, utilities, equipment costs, and employee wages are allocated between the companies for all resources that are shared.*