Supporting Documents Checklist

Sole Proprietorship - Required Documents

1. Résumés or professional biographies of owners, officers, and key employees demonstrating relevant education, training, and prior employment dates and duties; include roles and duties for current business and any outside employment.

2. Required Massachusetts' professional licenses, license renewal forms, permits, and haul authority forms, certificates or registrations used in the conduct of the business and held by owners, officers and key employees. **(if applicable)**

3. Federal (Form 1040) personal tax returns signed or with proof of e-filing, including all statements and Schedule C or the extension submitted to the IRS. Please do not include state taxes. ***If the business is less than one year old, provide a copy of the firm's opening bank statement.**

4. Bank authorization and signatory cards, or a letter from the bank that states who has signatory authority.

5. Eligible principals must provide proof of gender, ethnicity, and citizenship, permanent residence, or lawful presence in the U.S., as applicable. **(e.g., REAL ID, U.S. passport, birth certificate, certificate of naturalization, lawful permanent resident card, tribal identification card, asylum application, etc.)**

6. Business space documentation: If a Home-Based Business, provide a description of the office space used for business purposes; if Leased Business Space with a Written Lease, provide a copy of the signed lease agreement; if No Written Lease Exists, provide copies of 3 months' rent checks and the landlord's name.

7. Three (3) recent contracts or invoices from customers of the business that show the scope of service(s) performed and dollar amounts. If the business has not yet had three contracts, provide starting contract(s) or invoice(s), marketing materials, letters of intent, or proposals that show scope of service.

8. City or Town Business Certificate. **(if applicable)**

***Failure to provide any of these required documents that are applicable to your firm's application may result in delay or rejection of your application. The SDO reserves the right to request additional information.**

Supporting Documents Checklist

Corporations - Required Documents

1. Résumés or professional biographies of owners, officers, and key employees demonstrating relevant education, training, and prior employment dates and duties; include roles and duties for current business and any outside employment.

2. Required Massachusetts' professional licenses, license renewal forms, permits, and haul authority forms, certificates or registrations used in the conduct of the business and held by owners, officers and key employees. **(if applicable)**

3. Federal business tax returns signed or with proof of e-filing, including all statements / schedules or the extension submitted to the IRS. Please do not include state taxes. *** If the business is less than one year old, provide a copy of the firm's opening bank statement and IRS EIN Letter.**

4. Bank authorization and signatory cards, or a letter from the bank that states who has signatory authority.

5. Eligible principals must provide proof of gender, ethnicity, and citizenship, permanent residence, or lawful presence in the U.S., as applicable. **(e.g., REAL ID, U.S. passport, birth certificate, certificate of naturalization, lawful permanent resident card, tribal identification card, asylum application, etc.)**

6. Business space documentation: If a Home-Based Business, provide a description of the office space used for business purposes; if Leased Business Space with a Written Lease, provide a copy of the signed lease agreement; if No Written Lease Exists, provide copies of 3 months' rent checks and the landlord's name.

7. Three (3) recent contracts or invoices from customers of the business that show the scope of service(s) performed and dollar amounts. If the business has not yet had three contracts, provide starting contract(s) or invoice(s), marketing materials, letters of intent, or proposals that show scope of service.

8. Articles of Organization (signed by the state official), include any applicable amendments filed with the Secretary of the Commonwealth's Corporations Division.

9. Signed corporate by-laws and any amendments showing any changes in officers, ownership or business structure.

10. Most recent Annual Report filed with the Secretary of Corporations Division.

***Failure to provide any of these required documents that are applicable to your firm's application may result in delay or rejection of your application. The SDO reserves the right to request additional information.**

Supporting Documents Checklist

Limited Liability Company (LLC), Limited Liability Partnership (LLP) or Limited Partnership (LP) Required Documents

1. Résumés or professional biographies of owners, officers, and key employees demonstrating relevant education, training, and prior employment dates and duties; include roles and duties for current business and any outside employment.

2. Required Massachusetts' professional licenses, license renewal forms, permits, and haul authority forms, certificates or registrations used in the conduct of the business and held by owners and key employees. **(if applicable)**

3. Federal business tax returns signed or with proof of e-filing, including all statements / schedules or the extension submitted to the IRS. Please do not include state taxes. *** If the business is less than one year old, provide a copy of the firm's opening bank statement and IRS EIN Letter.**

4. Bank authorization and signatory cards, or a letter from the bank that states who has signatory authority.

5. Eligible principals must provide proof of gender, ethnicity, and citizenship, permanent residence, or lawful presence in the U.S. **(e.g., REAL ID, U.S. passport, birth certificate, certificate of naturalization, lawful permanent resident card, tribal identification card, asylum application, etc.)**

6. Business space documentation: If a Home-Based Business, provide a description of the office space used for business purposes; if Leased Business Space with a Written Lease, provide a copy of the signed lease agreement; if No Written Lease Exists, provide copies of 3 months' rent checks and the landlord's name.

7. Three (3) recent contracts or invoices from customers of the business that show the scope of service(s) performed and dollar amounts. If the business has not yet had three contracts, provide starting contract(s) or invoice(s), marketing materials, letters of intent, or proposals that show scope of service.

8. **LLC/LLP/LP Certificate of Formation** (signed by the state official), include if applicable any amendments filed with the Secretary of the Corporations Division.

9. **LLC/LLP/LP Operating Agreement** (Outlines ownership percentages, how daily operational decisions are made, how decisional deadlocks are broken and how officers are removed.) (**Not required for single-member firms)**

10. Most recent Annual Report filed with the Secretary of Corporations Division.

***Failure to provide any of these required documents that are applicable to your firm's application may result in delay or rejection of your application. The SDO reserves the right to request additional information.**

Supporting Documents Checklist

Partnership - Required Documents

1. Résumés or professional biographies of owners, officers, and key employees demonstrating relevant education, training, and prior employment dates and duties; include roles and duties for current business and any outside employment.

2. Required Massachusetts' professional licenses, license renewal forms, permits, and haul authority forms, certificates or registrations used in the conduct of the business and held by owners and key employees. **(if applicable)**

3. Federal business tax returns signed or with proof of e-filing, including all statements / schedules or the extension submitted to the IRS. Please do not include state taxes. *** If the business is less than one year old, provide a copy of the firm's opening bank statement and IRS EIN Letter.**

4. Bank authorization and signatory cards, or a letter from the bank that states who has signatory authority.

5. Eligible principals must provide proof of gender, ethnicity, and citizenship, permanent residence, or lawful presence in the U.S. **(e.g., REAL ID, U.S. passport, birth certificate, certificate of naturalization, lawful permanent resident card, tribal identification card, asylum application, etc.)**

6. Business space documentation: If a Home-Based Business, provide a description of the office space used for business purposes; if Leased Business Space with a Written Lease, provide a copy of the signed lease agreement; if No Written Lease Exists, provide copies of 3 months' rent checks and the landlord's name.

7. Three (3) recent contracts or invoices from customers of the business that show the scope of service(s) performed and dollar amounts. If the business has not yet had three contracts, provide starting contract(s) or invoice(s), marketing materials, letters of intent, or proposals that show scope of service.

8. **Partnership Agreement** (Outlines ownership percentages, how daily operational decisions are made, how decisional deadlocks are broken, and how officers are removed.)

***Failure to provide any of these required documents that are applicable to your firm's application may result in delay or rejection of your application. The SDO reserves the right to request additional information.**

Supporting Documents Checklist

Business Trusts - Required Documents

1. Résumés or professional biographies of owners, officers, and key employees demonstrating relevant education, training, and prior employment dates and duties; include roles and duties for current business and any outside employment.

2. Required Massachusetts' professional licenses, license renewal forms, permits, and haul authority forms, certificates or registrations used in the conduct of the business and held by owners and key employees. **(if applicable)**

3. Federal business tax returns signed or with proof of e-filing, including all statements / schedules or the extension submitted to the IRS. Please do not include state taxes. *** If the business is less than one year old, provide a copy of the firm's opening bank statement and IRS EIN Letter.**

4. Bank authorization and signatory cards, or a letter from the bank that states who has signatory authority.

5. Eligible principals must provide proof of gender, ethnicity, and citizenship, permanent residence, or lawful presence in the U.S. **(e.g., REAL ID, U.S. passport, birth certificate, certificate of naturalization, lawful permanent resident card, tribal identification card, asylum application, etc.)**

6. Business space documentation: If a Home-Based Business, provide a description of the office space used for business purposes; if Leased Business Space with a Written Lease, provide a copy of the signed lease agreement; if No Written Lease Exists, provide copies of 3 months' rent checks and the landlord's name.

7. Three (3) recent contracts or invoices from customers of the business that show the scope of service(s) performed and dollar amounts. If the business has not yet had three contracts, provide starting contract(s) or invoice(s), marketing materials, letters of intent, or proposals that show scope of service.

8. A copy of the trust agreement.

*** Failure to provide any of these required documents that are applicable to your firm's application may result in delay or rejection of your application. The SDO reserves the right to request additional information.**

Supporting Documents Checklist

Non-Profit Organizations (NPO) Required Documents

1. Résumés or professional biographies of trustees, officers, and key employees demonstrating relevant education, training, and prior employment dates and duties; include roles and duties for current business and any outside employment.

2. Required Massachusetts' professional licenses, license renewal forms, permits, and haul authority forms, certificates or registrations used in the conduct of the business and held by owners and key employees. **(if applicable)**

3. Bank authorization and signatory cards, or a letter from the bank that states who has signatory authority.

4. Articles of Organization, incorporation or association, including any applicable amendments filed with the Secretary of the Commonwealth.

5. By-laws and any amendments showing changes in structure or NPO governance.

6. Business space documentation: If a Home-Based Business, provide a description of the office space used for business purposes; if Leased Business Space with a Written Lease, provide a copy of the signed lease agreement; if No Written Lease Exists, provide copies of 3 months' rent checks and the landlord's name.

7. Three (3) recent contracts or invoices from customers of the business that show the scope of service(s) performed and dollar amounts. If the business has not yet had three contracts, provide starting contract(s) or invoice(s), marketing materials, letters of intent, or proposals that show scope of service.

8. IRS tax-exempt certification letter for a 501 (c) (3) or 501 (c) (4) organization.

9. Statement of all Board of Directors/Trustees members. For each member identify US citizenship/lawful presence/permanent resident status, gender, ethnicity and current term start and end dates.

10. Form PC filed with the Massachusetts Attorney General, Division of Public Charities. Note this form is available for download at: http://www.charities.ago.state.ma.us/charities/index.asp.

11. Page 1 of the Federal (Form 990) tax return.

12. Massachusetts Non-Profit Annual Report filed with the Massachusetts Secretary of Corporations Division.

***Failure to provide any of these required documents that are applicable to your firm's application may result in delay or rejection of your application. The SDO reserves the right to request additional information.**

Supporting Documents Checklist

Additional Required Documents- (Out-of-State, Veteran, & Cannabis)

Out-of-State Business

- Home State Certification Letter.
- Home State Site Visit Report and/or Contact information.
- Home State Annual Report filing.

Veteran Business

- DD214 Form.

Massachusetts-based Cannabis Business

- City or Town's Host Community Agreement.
- CCC Executive Summary.
- Business Plan, if applicable.
- CCC Provisional and Final Licenses, if any.

Supporting Documents Checklist

Additional Documents (If applicable)

The SDO may require the submission of the following documents depending on your individual business. If requested to provide any of these items, upload them into the "Document Center" on the top panel of the portal. Choose "New Application" in the drop-down box. Instructions will also be provided.

- Buyout or Purchase and Sales Agreement
- Asset and Purchase Agreement
- Shareholder Agreement
- Union Agreement
- Franchise Agreement
- Trust Agreements (held by any owner claiming certification status)
- Employee Stock Option Plan or Agreement (ESOP)
- Distributor's/ Service Agreements
- Schedule of salaries (or other remuneration) paid to officers, managers, owners, and/or directors of the firm
- Documented proof of any transfers of assets to/from your firm and/or to/from any of its owners over the past 2 years
- For suppliers, proof of inventory and related warehouse/storage facility ownership or lease arrangements
- For brokers only, 3 invoices or contracts form both customers and supply sources
- Insurance agreements for each truck owned or operated by your firm
- List of equipment and/or vehicles owned or leased, and copy of titles, proof of ownership, and registration for each vehicle
- Signed loan and security agreements, and bonding forms
- Audited financial statements (if available)

Failure to provide any of these required documents that are applicable to your firm's application may result in delay or rejection of your application. The SDO reserves the right to request additional information.