

ADVERTISEMENT FOR PREQUALIFICATION
(Subcontractor-Specialties)
Addendum 2 3

Subject to conditions prescribed by the University of California, Los Angeles, responses to the CM/Contractor's prequalification documents for a lump sum contract are sought from prospective Specialties subcontractors (hereafter "subcontractors") for the following project:

Mid-Wilshire Medical Office Building Seismic and Program Improvements
Phase 2B – BP 10A - Specialties
Project Number 908736.01
UNIVERSITY OF CALIFORNIA, LOS ANGELES

PREQUALIFICATION OF PROSPECTIVE SUBCONTRACTORS: The CM / Contractor has determined that Specialties subcontractors who submit bids on this Bid Package must be prequalified.

Disclaimer – Prequalification Requirement

Subcontractors are hereby notified that this prequalification for the *UCLA Mid-Wilshire MOB Seismic and Program Improvement Phase 2B* project is a separate and distinct process from any prior phases. Subcontractors who are prequalified for Phase 2A are required to submit a new prequalification application for phase 2B.

Prequalification status for Phase 2A does not carry over, and will not be considered for Phase 2B. All interested subcontractors must complete and submit the Phase 2B prequalification documentation in accordance with the requirements and deadlines set forth in the project's solicitation documents.

Failure to complete the prequalification process for Phase 2B will result in disqualification from consideration for this phase of the Project.

LICENSE: Prequalified subcontractors will be required to have the following California contractor's license(s):

B- License (General Building)

DESCRIPTION OF WORK:

Overall Description: The 5 story Medical Office Building (MOB) is located at 5901 West Olympic Boulevard, approximately 6 miles east of the UCLA Campus and is approximately 95,607 GSF. The proposed project would include seismic improvements on all floor levels and interior tenant improvements of approximately 34,000 GSF of space on floors 1-3. The MOB has a current Seismic Performance Rating of V. Upon completion of the work, the MOB would achieve a Seismic Performance Rating of IV or better and bring the facility into compliance with the UC Seismic Safety Policy.

The proposed seismic work will include the installation of approximately 52 seismic dampers placed at specified locations on the inside perimeter of the building's exterior walls. The dampers will be installed diagonally and attached at the bottom and top of the existing steel column bays requiring incidental fireproofing at beam and column modifications. Steel reinforcing plates will be added to existing steel beams and columns to support the installation of seismic damper brackets. Additional seismic reinforcing is required at the existing rooftop mechanical penthouse and at the building foundation at locations along the 1st floor seismic dampers.

In addition to the seismic work, work would also include partial restoration of interior building finishes impacted by the installation of the seismic braces. Limited MEP investigation and safe-off work is anticipated. Site and building accessibility improvements would include path of travel upgrades along the city sidewalk and building entrance, installation of new ADA handrails and guardrails at existing interior stairs. New accessible signage, restrooms and a drinking fountain are also anticipated.

The Anticipated Contract Value is \$39,100,000.

Bid Package 10A: Specialties:

The anticipated specialties work includes associated work to support the updated interior layout of levels 1 to 3. Anticipated scope includes OFCI kitchen equipment, housekeeping equipment, toilet accessories, air dryers, bathroom partition walls, bathroom ADA specialties, bike racks and lockers, coat hooks, privacy curtains and curtain tracks, fire extinguishers, fire extinguisher cabinets, fire department key boxes, mirrors, glove dispensers, marker boards, and wall corner guards. Ligature resistant requirements, security joint sealants, and tamper resistant fasteners are anticipated for finish products in behavioral health areas.

Estimated Construction Cost for this Bid Package is \$950,000.

PREQUALIFICATION SCHEDULE: On April 21st 2025, prequalification documents will be available to intending subcontractors online at Swinerton's public plan room, hosted via BuildingConnected at

<https://app.buildingconnected.com/projects/67f15aeb497c8a0032c41008/bid-packages>

Subcontractors will need to register for a free BuildingConnected account to access if they do not already have one. This prequalification opportunity is named as "UCLA Mid-Wilshire MOB Seismic and Program Improvements - Phase 2B - Prequalification" in BuildingConnected.

MANDATORY PREQUALIFICATION CONFERENCE: ~~A Mandatory Prequalification Conference will be conducted on April 28, 2025 beginning promptly at 10:00 a.m. Two~~ Three Prequalification Conferences will be conducted for this project. Only subcontractors who participate in **at least one of these Conferences** ~~the Conference~~ in its entirety will be allowed to submit prequalification documents and, if prequalification is achieved, submit Bid Package bids to the CM / Contractor for this Bid Package. ~~The first prequalification conference will be conducted on April 28, 2025 beginning promptly at 10:00 a.m. The second prequalification conference will be conducted on May 5, 2025 beginning promptly at 1 p.m. The third prequalification conference will be conducted on May 27th, 2025 beginning promptly at 1 p.m.~~

Mandatory Prequalification Conference via Microsoft Teams: The mandatory Prequalification Conference will be conducted via Microsoft Teams ~~and shall begin promptly at 10:00 a.m.~~ Participants must log onto the Microsoft Teams meeting at or before the start time of the conference ~~10:00 a.m.~~ (See Microsoft Teams meeting instructions below.) Persons logging in later than said time will not be allowed to bid on this Bid Package. For further information, contact Swinerton's estimating team, Yohan.Kwak (yohan.kwak@swinerton.com) and William Nutting (william.nutting@swinerton.com).

April 28, 2025, at 10:00 a.m. - Join Microsoft Teams Meeting:

https://teams.microsoft.com/l/meetup-join/19%3ameeting_M2MwMTdJNzYtYWMwOS00NmYyLWJjZTUtMjdjYWQ3MDdiZGZl%40thread.v2/0?context=%7b%22Tid%22%3a%225d793645-a4cb-4dc9-90f2-c691a6fb6f16%22%2c%22Oid%22%3a%22f4186f39-8a6d-4a65-bd2c-4a199f8afb2a%22%7d

Meeting ID: 251 114 821 438
Dial in by phone
+1 925-412-3623,,847737989# United States, Concord
Phone conference ID: 847 737 989#

May 5, 2025, at 1 p.m. - Join Microsoft Teams Meeting:

https://teams.microsoft.com/l/meetup-join/19%3ameeting_OWY4YmQ3YjUtY2ViZC00ZmQ0LTlkODEtODczYjA3ZmVmNjZh%40thead.v2/0?context=%7b%22Tid%22%3a%225d793645-a4cb-4dc9-90f2-c691a6fb6f16%22%2c%22Oid%22%3a%22f4186f39-8a6d-4a65-bd2c-4a199f8afb2a%22%7d

Meeting ID: 263 851 997 600 1
Passcode: JG7XC7Cd
Dial in by phone
+1 925-412-3623,,459894585# United States, Concord
Phone conference ID: 459 894 585#

May 27, 2025, at 1 p.m. - Join Microsoft Teams Meeting:

https://teams.microsoft.com/l/meetup-join/19%3ameeting_YzhkNTg2N2YtNDg3NS00OGY4LTg0ZigtZTNlZWU2ZDYyZjlh%40thead.v2/0?context=%7b%22Tid%22%3a%225d793645-a4cb-4dc9-90f2-c691a6fb6f16%22%2c%22Oid%22%3a%22f4186f39-8a6d-4a65-bd2c-4a199f8afb2a%22%7d

Meeting ID: 271 597 410 530 8
Passcode: fe9Ln3eH
Dial in by phone
+1 925-412-3623,,329595480# United States, Concord
Phone conference ID: 329 595 480#

NOTE: *Attendee shall be a staff member of the subcontractor's firm who will be actively involved in responding to this Prequalification, and who is highly knowledgeable of the firm's potential response to the prequalification criteria.*

SUBMITTAL DEADLINE: Each subcontractor's completed Prequalification Questionnaire and associated documents must be uploaded to Swinerton's BuildingConnected project site, no later than:

3:00 p.m., ~~May 30th~~, June 6th, 2025

NOTE: Only submittals uploaded to Swinerton's BuildingConnected project website will be accepted. Submissions via email or through UCLA's public portal will not be accepted. For access to BuildingConnected, follow link to

<https://app.buildingconnected.com/projects/67f15aeb497c8a0032c41008/bid-packages> .

Subcontractors will need to register for a free BuildingConnected account to access if they do not already have one. For questions regarding access, please reach out to Yohan Kwak (Yohan.Kwak@swinerton.com) and William Nutting (William.Nutting@swinerton.com) via email. Swinerton reserves the right (but is not obligated) to request, receive, and evaluate supplemental information after the above time and date at its sole determination.

Any person or entity not satisfied with the outcome of the prequalification must file a writ challenging the outcome within 5 calendar days from the date of the CM / Contractor's written notice regarding prequalification determination. Any assertion that the outcome of the prequalification process was improper will not be a ground for a bid protest.

The dates, times, and location set for receiving and opening of bids will be set forth in an Advertisement for Bids.

The CM / Contractor reserves the right to reject any or all responses to Prequalification Questionnaires and to waive non-material irregularities in any response received.

All information submitted for prequalification evaluation will be considered official information acquired in confidence, and the University will maintain its confidentiality to the extent permitted by law.

Every effort will be made to ensure that all persons have equal access to contracts and other business opportunities with the University within the limits imposed by law or University policy. Each subcontractor may be required to show evidence of its equal employment opportunity policy. Subcontractors will be required to follow the nondiscrimination requirements set forth in the Bidding Documents and to pay prevailing wage at the location of the work.

In addition, the University is committed to promoting and increasing participation of small business enterprises (SBEs) and disabled veteran business enterprises (DVBES) relating to all goods and services covered under the awarded agreement, subject to any and all applicable obligations under state and federal law, and University policies. The awarded contractor shall make best efforts to provide qualified SBEs and DVBES with the maximum opportunity to participate. Please email ContractsAdministration@capnet.ucla.edu for further information.

The work described in the contract is a public work subject to section 1771 of the California Labor Code.

No contractor or subcontractor, regardless of tier, may be listed on a Bid for, or engage in the performance of, any portion of this project, unless registered with the Department of Industrial Relations pursuant to Labor Code section 1725.5 and 1771.1.

This project is subject to compliance monitoring and enforcement by the Department of Industrial Relations.

The successful Prequalified subcontractor shall pay all persons providing construction services and/or any labor on site, including any University location, no less than the UC Fair Wage (defined as \$15 per hour) and shall comply with all applicable federal, state and local working condition requirements.
THE REGENTS OF THE UNIVERSITY OF CALIFORNIA
(Visit our website at: <https://www.uclaplanroom.com>)

PREQUALIFICATION QUESTIONNAIRE
(Subcontractor - Specialties)

for

Mid-Wilshire Medical Office Building Seismic and Program Improvements
Phase 2B – BP 10A - Specialties
Project Number 908736.01

As used herein, the term "Entity" means the prospective Specialties subcontractor submitting this Prequalification Questionnaire regardless of whether the entity is an individual company, joint venture, or partnership. Please note that the term "prospective Subcontractor" may sometimes be used interchangeably with the term "Entity" or "Subcontractor."

SUBMITTED BY:

(Entity Name. If a Joint Venture, state name of JV Entity)

(Contact Name)

(Full Address)

(Telephone Number)

(Fax Number)

(License Number)

(Email Address)

Only this form (and associated attachments) will be accepted. The Entity must answer all of the following questions and provide all requested information, where applicable. Any Entity failing to do so will be deemed to be not responsive and not responsible with respect to this Prequalification at the sole discretion of the University of California. In addition, Entity must list accurate names and telephone numbers of applicable contact references. If University is unable, after reasonable efforts, to confirm the past project information submitted by Entity, said project will not be accepted as a qualifying project. All Entities that have submitted a Prequalification Questionnaire will be notified of whether or not they have successfully achieved Prequalification status. Entities that affirmatively respond (i.e. answer YES) to all questions in Parts 1 through 4, and questions 14 through 25 in Part 5; and respond "NO" to questions 1 through 13 in Part 5, and submit all required information and supporting data, and are determined to have accurately responded to the questions will be prequalified. Only those Entities that have been determined to be prequalified will be eligible to submit a bid for the BP 10A – Specialties scope of work.

If Entity is determined by the CM / Contractor not to be prequalified, Entity may request a review by the Facility. Any such request must be received by the Facility within 3 calendar days after receipt by Entity of the determination. The decision resulting from such review is final and is not appealable within the University of California. Any person or entity not satisfied with the outcome of the prequalification must file a writ challenging the outcome within 5 calendar days from the date of the CM / Contractor's written notice regarding prequalification determination. Any assertion that the outcome of the prequalification process was improper will not be a ground for a bid protest.

All information submitted for Prequalification evaluation will be considered official information acquired in confidence, and the University will maintain its confidentiality to the extent permitted by law.

WHERE NECESSARY, COPY THE FORMS IN THIS PACKAGE. USE ONLY THESE FORMS.

1. CALIFORNIA CONTRACTOR LICENSE

Can Entity truthfully state that:

A. Entity (or if Entity is a joint venture, the joint venture Entity and each member of the joint venture) is a licensed contractor in California with a B- License (General Building)? ☐ Yes ☐ No

B. The State of California Contractor State License Board (CSLB) has never revoked Entity's contractor license (or, if Entity is a joint venture, the license of the joint venture Entity or any joint venture member)? ☐ Yes ☐ No

C. Entity has been doing business under the same company name with the same license since April 1, 2019? ☐ Yes ☐ No

2. SURETY

A. No surety has paid out any monies on claims on the performance bond issued by a surety for the benefit of the owner arising out of the construction activities of Entity since January 1, 2019? ☐ Yes ☐ No

B. No surety has paid out any monies on claims on the payment bond issued by a surety for the benefit of the owner arising out of the construction activities of Entity since January 1, 2019? ☐ Yes ☐ No

3. FINANCIAL STATEMENT

Can Entity truthfully state that:

- A. Entity is currently prequalified with Swinerton and has submitted Contractors' complete financial statements as part of the previous prequalification process? To verify current prequalification status, please email Yohan Kwak (Yohan.Kwak@Swinerton.com) ☐ Yes ☐ No

****Note:** This review is for prequalification only and if selected, the successful vendor will need to renew or complete Swinerton's prequalification process as required prior to being awarded.

OR

Entity has completed and submitted (1) copy of the Contractor's audited Statement of Financial Condition (attached at the end of this Prequalification Questionnaire), and all information required with said document?

(NOTE: If Bidder is a joint venture, a statement must be filed for the joint venture entity itself.)

- B. Entity's Current Assets to Current Liabilities ratio is at least 1 and has a positive equity balance? ☐ Yes ☐ No

4. OCCUPATIONAL SAFETY AND HEALTH QUALIFICATIONS

Can Entity truthfully state that:

- A. Entity has no Final Order (declared by OSHA) Willful violations in California of Part 1 -Section 6300 of Division 5 of the Labor Code during the five (5)-year period prior to execution of this certification? ☐ Yes ☐ No

- B. Entity has maintained a Workers' Compensation Experience Modification Rate (EMR) that averages below 1.15 for the past (5) years? Or, if Entity has been in business for less than (5) years, then Entity has maintained a workers' compensation Experience Modification Rate (EMR) that averages below 1.15 for all years it has been in business? Entity must attach a letter from its insurance carrier stating Entity's EMR for the lesser of the past five years or for all years Entity has been in business. ☐ Yes ☐ No

Entity has attached a letter from its insurance carrier stating Entity's EMR for the lesser of the past five years or for all years Entity has been in business? ☐ Yes ☐ No

- C. Entity has instituted an injury prevention program pursuant to Section 3201.5 or 6401.7 of the Labor Code and will furnish University with a complete copy upon request?
-

☐ Yes ☐ No

5. **GENERAL**

Subcontractor shall be disqualified if the answers to any of question 1 through 13 is "Yes."

- | | | | | | |
|-----|---|--------------------------|-----|--------------------------|----|
| 1. | Has your Company ever petitioned for bankruptcy, defaulted, or been terminated on a contract awarded to you? | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| 2. | Has your Company failed to complete or been substituted out of any project for cause within the past five (5) years? | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| 3. | Has your surety ever finished one or more of your construction projects? | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| 4. | Has your Company ever been disbarred or precluded from bidding a public works project? | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| 5. | Has your Company ever been held liable through a judgment for failure to make payments to an entity or entities? | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| 6. | Has your company ever been held liable through judgment for improper, delayed, defective or non-compliant work or failure to meet warranty obligations? | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| 7. | Has your Company had any citations or fines from the EPA, any other state or federal environmental or air quality regulatory authorities within the past two (2) years? | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| 8. | Has any member of your Company who is still employed by your Company been subject to disciplinary proceeding by a public agency as the result of a crime for which he or she was convicted, or of a disciplinary infraction such as a breach of a code of ethics? | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| 9. | Has your Company been found in a final decision of a court to have submitted a false claim to a public agency? | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| 10. | Has your Company been found to have violated any provision of California apprenticeship laws or regulations or the laws pertaining to the use of apprentices on public works projects within the past five (5) years? | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| 11. | Has your Company been required to pay either back wages or penalties for your own firm's failure to comply with the state's prevailing wage laws within the past five (5) years? | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| 12. | Has your Company been required to pay either back wages or penalties for your own firm's failure to comply with prevailing wage requirements within the past five (5) years? | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| 13. | Does your Company have any Final Order (declared by OSHA) willful violations (in CA) of Part 1 – Section 6300 of Division 5 of the Labor Code in the past five (5) years? | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |

Subcontractor shall be disqualified if the answers to any of question 14 through 25 is "No."

14. Can the Subcontractor truthfully state that the CSLB has never revoked its contractor license (or, if entity is a joint venture, of joint venture entity or any joint venture member)? ☐ Yes ☐ No
15. Does the Bid Package work description fit within the scope of your contractor's license? ☐ Yes ☐ No
16. Has Subcontractor maintained a Worker's Compensation Experience Modification Rate (EMR) that averages below 1.15 for the past five years? If Subcontractor has been in business for less than five (5) years, has it maintained a workers' compensation Experience Modification Rate (EMR) that averages below 1.15 for all years they have been in business? ☐ Yes ☐ No
17. Has your Company instituted an injury prevention program pursuant to Section 3201.5 or 6401.7 of the Labor Code that it can furnish a complete copy upon request? ☐ Yes ☐ No
18. Can the Subcontractor truthfully state that is not presently debarred, suspended, or declared ineligible or voluntarily excluded from covered transactions by any State or Federal Department or Agency? ☐ Yes ☐ No
19. Can the Subcontractor truthfully state that it has not within a three (3) year period preceding the date of this form had one or more public contracts (federal, State or local) terminated for cause or default? ☐ Yes ☐ No
20. Is Subcontractor registered with the Department of Industrial Relations pursuant to Labor Code section 1725.5? If so, please provide the following: ☐ Yes ☐ No
- Registration No. _____ Expiration Date: _____
21. Subcontractor has reviewed and will execute Swinerton's Master Subcontract Agreement (MSA) without modification if awarded project. Swinerton's MSA is available for review at the following link. <https://swinerton.com/subcontractors/subcontract-sample-agreements/> ☐ Yes ☐ No
22. Subcontractor has reviewed and will complete the Swinerton prequalification process as outlined at the following link. <https://swinerton.com/subcontractor-prequalification/> ☐ Yes ☐ No
23. Subcontractor has received and reviewed UCLA's University Controlled Insurance Program (UCIP) and takes no exception to requirements listed therein. ☐ Yes ☐ No
24. Subcontractor has received and reviewed Contractors Prime Contract Agreement and takes no exceptions to the requirements listed therein. ☐ Yes ☐ No
25. Subcontractor is able to produce a bid bond in the amount of 20% of the lump sum base bid as security for Bidder's obligation to enter into a Subcontractor Agreement with Swinerton on the terms stated in the Bid Form and to Furnish all items required by the Bidding Documents. ☐ Yes ☐ No

6. PRIOR CONSTRUCTION EXPERIENCE

Entity must have the minimum experience described below. Submit proof of the below-listed prior construction experience only on the Construction Experience Information Form contained on the following page(s).

- A. Entity successfully completed (2) projects, each meeting the following criteria:
 - 1. Fully completed by Entity in the United States since January 1, 2019; and
 - 2. Work included the renovation or new construction of a building or structure classified as Type I or Type II construction?
 - 3. Building was at least 3 stories in height above grade (not including parking structures); and was at least 80,000GSF
 - 4. The construction cost of the Specialties scope was at least \$712,500
- B. Entity successfully completed (1) project meeting the following criteria:
 - 1. Fully completed by Entity in the United States since January 1, 2019; and
 - 2. Work performed fit within the classification description for the license(s) specified for this bid package.
 - 3. Occupancy was classified as an OSHPD 3, Primary Care Clinic or OSHPD 1, Acute Care Hospital.
 - 4. Work included installation of ligature resistant products with tamper resistant screws in an existing and occupied medical office building

NOTES:

- 1. "Fully completed" shall be defined as Subcontractor having completed all on-site work, including punch list, and submitted all required close-out documentation to project owner or general contractor, as applicable.
- 2. Subcontractor (or General Contractor if General Contractor intends to self-perform this trade work), the licensed entity listed on Page 1 of this Questionnaire, must have been the subcontractor on each project submitted for consideration. Subcontractor may not use experience performed by a parent company, a sister subsidiary company, or a subsidiary to the Subcontractor. Additionally, Subcontractor may not use experience where Subcontractor was one member of a separately licensed joint venture entity.
- 3. If Subcontractor is a joint venture, all construction experience must have been performed by the joint venture entity itself.

CONSTRUCTION EXPERIENCE INFORMATION FORM

(Copy Additional Pages as Needed)

Entity Name: _____

Project Name

Project Location (City & State)

Owner's Name & Telephone

Owner's Contact Person's Name & Telephone

Design Professional's
Name & Telephone

Design Professional's
Contact Person's Name & Telephone

Project Start Date

Project Completion Date

6.A.1	Was project fully completed by Entity in the United States since January 1, 2019	<input type="checkbox"/> Yes	<input type="checkbox"/> No
6.A.2	Did work include renovation or new construction of a building or structure classified as Type I or Type II construction?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
6.A.3	Was structure at least 3 stories in height above grade (not including parking structures), and was at least 80,000 GSF?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
6.A.4	Was the construction cost of the specialties scope at least \$712,500?	<input type="checkbox"/> Yes	<input type="checkbox"/> No

6.B.1	Was project fully completed by Entity in the United States since January 1, 2019?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
6.B.2	Work performed fit within the classification description for the license(s) specified for this bid package.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
6.B.3	Was occupancy classified as an OSHPD 3, Primary Care Clinic or OSHPD 1, Acute Care Hospital?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
6.B.4	Did work include installation of ligature resistant products with tamper resistant screws?	<input type="checkbox"/> Yes	<input type="checkbox"/> No

(BALANCE OF PAGE INTENTIONALLY LEFT BLANK)

PREQUALIFICATION DECLARATION

I, _____ (Printed Name), hereby declare that I am
the _____ (Title)
of _____ (Name of Entity) submitting this
Prequalification Questionnaire; that I am duly authorized to sign this Prequalification Questionnaire on
behalf of the above named entity; and that all information set forth in this Prequalification Questionnaire
and all attachments hereto are, to the best of my knowledge, true, accurate and complete as of its
submission date.

The undersigned declares under penalty of perjury that all of the prequalification information submitted
with this form is true and correct and that this declaration was executed in

_____ (County),

_____ (State)

on _____ (Date).

Signed: _____

Printed Name and Title

Firm Name and Full Address

Firm's
Telephone Number

Firm's
Fax Number

Firm's
License Number

Email Address

STATEMENT OF FINANCIAL CONDITION
(Subcontractor)

Submitted by:

Firm Name

Address

City, State, Zip Code

Telephone

Fax Number

Email

INSTRUCTIONS

For Filing the
Contractor's Statement of Financial Condition

1. The Statement is used to give the University a financial record of the Contractor.
2. All questions contained in the Statement must be answered in complete detail.
3. Age of Financial Information: The Statement of Financial Condition required herein must show the condition of the business at the end of the Contractor's fiscal year immediately preceding the deadline for receipt of Qualification Documents. If Contractor's fiscal year ended more than 90 days prior to the deadline for receipt of qualification Documents, Contractor may, at its option, or if requested by University, Contractor shall be required to submit subsequent quarterly statements for consideration with the fiscal year statement. University's consideration of said quarterly statements shall be at its sole determination. Notwithstanding the foregoing, if the Contractor's immediately preceding fiscal year end occurs within 90 days prior to the deadline for receipt of Qualification Documents, and the required Statement of Financial Condition for the immediately preceding fiscal year has not been completed, then the Contractor shall submit the required Statement of Financial Condition showing the condition of the business at the end of the most recent date available, but not earlier than the end of the fiscal year immediately prior to the fiscal year preceding the deadline for receipt of Qualification Documents.
4. Number of copies required to be submitted: One.
5. Data Required: All applicable portions of the Statement must be completed, with schedule attached if the spaces provided in the Statement are not sufficient. In lieu of completing the specific schedules in the Statement of Financial Condition, the customary accountant's report and appropriate schedules must be submitted, provided they include all the information specifically requested in the Statement of Financial Condition.

Full financial statements shall be submitted for the last two (2) fiscal years of Entity.
6. Accounting Requirements of the Statement of Fiscal Condition: Reviewed or Audited Financial Statements prepared by a Certified Public Accountant are required for this project.
7. Contractor's Declaration (Corporation, Partnership, Individual, or Joint Venture, as applicable):

The declaration appropriate to the nature of the Contractor's organization shall be fully completed and signed in the spaces provided.

8. If Entity is a joint venture, a Statement must be filed for each party of the joint venture. A full history of experience as this joint venture must be provided along with a proposed division of responsibilities and operations plan for this project.
9. The Contractor's Statement of Financial Condition shall be substantially in the form on Pages 3 and 4, and shall include items referenced in Paragraph 6 above. The Certified Public Accountant's report shall be included in the Financial Statement.
10. Any Contractor who fails to submit this Contractor's Statement of Financial Condition, including required attachments as stated above, with the Prequalification Statement will be considered ineligible to submit a bid for the Project. **Alternatively, Contractors who are currently prequalified with Swinerton and have previously submitted complete financial statements as part of this process may indicate so below and omit the Statement of Financial Condition and associated financial statements.**

Entity is currently prequalified with Swinerton (Y / N): _____

Date of Most Recent Prequalification Completion (DD/MM/YYYY): _____

Date of Current Prequalification Expiration (DD/MM/YYYY): _____

END OF INSTRUCTIONS

(BALANCE OF PAGE INTENTIONALLY LEFT BLANK)

STATEMENT OF FINANCIAL CONDITION

Banker	Surety Company
_____ Firm Name	_____ Firm Name
_____ Address	_____ Address
_____ 	_____
_____ Telephone	_____ Telephone
_____ Fax	_____ Fax
_____ Email	_____ Email

Financial condition at close of business on _____
Date

ASSETS

Detail

Total

Current Assets

1. Cash
2. Notes receivable
3. Accounts receivable from completed contracts
4. Sums earned on incomplete contracts
5. Other accounts receivable
6. Advances to construction joint ventures
7. Material in stock not included in Item 4
8. Negotiable securities
9. Other current assets
- Total Current Assets

Fixed and Other Assets

10. Real Estate
11. Construction plant and equipment
12. Furniture and fixtures
13. Investment of a non-current nature
14. Other non-current assets
- Total Fixed and Other Assets

Total Assets

LIABILITIES AND CAPITAL

Current Liabilities

15. Current portion of notes payable, exclusive of equipment obligations and real estate encumbrances	_____	
16. Accounts payable	_____	
17. Other current liabilities	_____	
<u>Total Current Liabilities</u>		_____

Other Liabilities and Reserves

18. Real estate encumbrances	_____	
19. Equipment obligations secured by equipment	_____	
20. Other non-current liabilities and non-current notes payable	_____	
21. Reserves	_____	
<u>Total Other Liabilities and Reserves</u>		_____

Capital and Surplus

22. Capital Stock Paid Up	_____	
23. Surplus (or Net Worth)	_____	
<u>Total Capital and Surplus</u>		_____

Total Liabilities and Capital

CONTINGENT LIABILITIES

24. Liability on notes receivable, discounted or sold	_____	
25. Liability on accounts receivable, pledged, assigned or sold	_____	
26. Liability on bondsman	_____	
27. Liability as guarantor on contractor on accounts of others	_____	
28. Other contingent liabilities	_____	

Total Contingent Liabilities

Notes:

1. Enter sums for numbered items 1 through 28 in shaded spaces in Detail column. Then enter total sums of main headings in shaded spaces in Total column.
2. A copy of the accountant's opinion or report must be attached to the Statement of Financial Condition. See Instruction 6 on Page 1.

DECLARATION

(For Individual, Partnership, or Corporation)

Name (name of Individual, Partner, or Officer)

(If an individual, doing business as _____)

declares: That I am (capacity) of the (entity) submitting the Contractor's Statement of Experience and Financial Condition; that I have read the Statement of Experience and all of the information furnished in it is true, and correct of my own knowledge; that I have read the Statement of Financial Condition and am familiar with the accounting records from which it was prepared; and that the Statement of Financial Condition is a true and accurate statement of (my or the) financial condition (of the partnership or firm) as of its date (any other representations deemed appropriate).

I declare under penalty of perjury that the foregoing is true and correct and that this declaration was subscribed at:

(City)

(County)

State of _____ on _____
(Date)

(Individual, Partner, or Officer must sign here)

For partnership only:

The foregoing declaration is hereby affirmed

(Remaining Partners of firm sign here)