

STATE OF FLORIDA
DEPARTMENT OF TRANSPORTATION
TALLAHASSEE, FLORIDA



MyFloridaMarketPlace
Vendor Number

APPLICATION FOR QUALIFICATION

Submitted on _____ Showing Position as of Balance Sheet date

Applicant _____

- An Individual
- A Co-Partnership
- A Corporation
- Joint Venture
- LLC

Email Address (to receive information about Pre-qualification):

P.O. Box (if any) _____ P.O. Zip _____
City _____ State _____ Zip Code _____
Telephone Number () _____ Fax Number () _____

Email Address (to receive the Advertisement (Bid Solicitation Notice) and other project Information):

Bidding Office Street _____
P.O. Box (if any) _____ P.O. Zip _____
City _____ State _____ Zip Code _____
Telephone Number () _____ Fax Number () _____

for the purpose of qualifying to bid on road, bridge or public transportation construction contracts in excess of \$250,000 let to contract by the State of Florida Department of Transportation.

REMINDER

PURSUANT TO FLORIDA STATUTES, YOUR APPLICATION FOR QUALIFICATION MUST BE FILED WITH THE CONTRACTS ADMINISTRATION OFFICE WITHIN FOUR (4) MONTHS OF THE ENDING DATE OF YOUR AUDITED FINANCIAL STATEMENTS. FILING IS DEFINED AS RECEIPT OF THE APPLICATION WITH ACCOMPANYING AUDITED FINANCIAL STATEMENTS BY THE CONTRACTS ADMINISTRATION OFFICE.

MAIL COMPLETED FORMS TO:

Contracts Administration Office
Florida Department of Transportation
605 Suwannee Street, MS #55
Tallahassee, Florida 32399-0455

PLEASE RETURN AN ORIGINAL AND ONE (1) COPY OF THE APPLICATION AND ALL ATTACHMENTS. PLEASE BE ADVISED ALL INFORMATION MUST BE FILED IN DUPLICATE.

NOTICE

APPLICANTS FOR PREQUALIFICATION ARE HEREBY NOTIFIED THAT INTENTIONAL INCLUSION OF FALSE, DECEPTIVE OR FRAUDULENT STATEMENTS ON THIS APPLICATION CONSTITUTES FRAUD. FURTHERMORE, YOU ARE HEREWITH NOTIFIED THE STATE OF FLORIDA CONSIDERS SUCH ACTION ON THE PART OF THE APPLICANT TO CONSTITUTE GOOD CAUSE FOR DENIAL, SUSPENSION OR REVOCATION OF A CERTIFICATE OF QUALIFICATION FOR BIDDING ON STATE AND FEDERAL-AID HIGHWAY PROJECTS LET TO CONTRACT BY THE STATE OF FLORIDA DEPARTMENT OF TRANSPORTATION.

NOTICE TO CONTRACTORS

PLEASE BE ADVISED THAT THIS APPLICATION MUST BE COMPLETE WITHIN ITSELF WITHOUT REFERENCE TO ANY PREVIOUS APPLICATION OR STATEMENT. ALL SECTIONS OF THE APPLICATION MUST BE COMPLETED. IF ANY OF THE REQUESTED INFORMATION DOES NOT APPLY, IT MUST BE INDICATED AS "NONE" OR "N.A." AS APPLICABLE. FAILURE TO MAKE ENTRIES IN EVERY SECTION OF THIS APPLICATION COULD RESULT IN DENIAL AND WILL, AT THE MINIMUM, DELAY FURTHER PROCESSING UNTIL ALL REQUIRED INFORMATION IS PROVIDED TO THE DEPARTMENT.

ALL INFORMATION PROVIDED IN THIS APPLICATION AND ACCOMPANYING AUDITED FINANCIAL STATEMENTS IS CONFIDENTIAL AND EXEMPT FROM FLORIDA SUNSHINE LAWS.

IMPORTANT
BEFORE ATTEMPTING TO FILL IN THIS FORM READ
CAREFULLY AND ADHERE TO THE FOLLOWING

- 1 This application must be filed within four (4) months of the ending date of applicant's audited annual financial statements and, if applicable, the audited interim financial statement.
- 2 This application form and the audited financial statement must be filed in duplicate.
- 3 This application must be plainly filled in with ink or typewriter.
- 4 Each item must be set forth in full, and wherever explanations are requested they must be given in detail.
- 5 Failure to fill in any item will cause delay by having to return the application for completion.
- 6 Signatures are required in the following places: (1) the statement on Page 4 authorizing the Department to investigate, (2) the application affidavit on Page 21.
- 7 Opinion by a Certified Public Accountant shall accompany the financial statements with this application.
- 8 Do not use any substitute forms. No other form or statement will be accepted.
- 9 Do not cut statements short. If sufficient space is not provided, insert additional pages.
- 10 Show street address, Post Office Box number (if any), zip code and telephone number on the cover.
- 11 New applicants and applicants who have not qualified with the department within the past two years shall furnish at least two letters of recommendation from firms with knowledge of past performance.
- 12 An applicant not qualified with the Department the previous year is required to submit two copies of their current audited annual financial statement and two copies of his preceding annual financial statement.
- 13 The term "affiliate" as used herein means a predecessor or successor of an applicant under the same, or substantially the same, control or a group of business entities which are connected or associated so that one entity controls or has the power to control each of the other business entities. The term "affiliate" shall include the affiliate's offices, directors, executives, shareholders active in management, employees, and agents. One business entity's ownership of a controlling interest in another business entity, or a pooling of equipment or income among business entities, shall be prima facie evidence that one business entity is an affiliate of another.

GENERAL INFORMATION

A new application for qualification must be completed and submitted each year, or more often, if, in the judgment of the Department, the financial position of the qualified entity is such as to warrant it. A new application is also required in the event a significant change in the structure of your firm occurs, such as a change of ownership or incorporation of a non-incorporated firm or a subsequent event that is material and adversely affects the financial position of the entity. You need not submit a new application solely because of any change in the officers or the name of your firm, but such information shall be certified to the Department within 10 days. Entities currently qualified will be given at least 45 days notice of the time the new application must be filed.

A bidder will not be furnished a proposal document for any project for which the budget estimate exceeds his current capacity rating. He may be furnished as many proposal documents as desired on projects with a budget estimate singly less than such rating and for which he has the necessary work classes.

The undersigned hereby authorize(s) and request (s) any person, firm or corporation to furnish any pertinent information requested by the State of Florida Department of Transportation deemed necessary to verify the statements made in this application or regarding the ability, standing and general reputation of the applicant.

DATED AT _____
Name of Organization

This ____ day of _____, _____ By: _____
Name and Title of Person Signing

INCLUDE THE FOLLOWING INFORMATION WITH THIS APPLICATION:

- (1) Two Copies of Audited annual, and, if applicable, audited interim financial statements which include:
 - (a) Opinion of the Certified Public Accountant on the statements (b through e).
 - (b) Balance Sheet.
 - (c) Statement of Income.
 - (d) Statement of Retained Earnings.
 - (e) Statement of Cash Flows.
 - (f) Notes which are an integral part of the financial statements.
 - (g) Supplemental data including a Schedule of Selling, General & Administrative Expenses, and a Schedule of Contracts in Progress.
 - (h) When consolidated financial statements are required by Generally Accepted Accounting Principles, and qualification is desired for one or more of the subsidiary companies, a consolidating balance sheet must be included by the Certified Public Accountant. When combined financial statements are allowed by Generally Accepted Accounting Principles, and qualification is desired for one of the combining affiliated entities, a combining balance sheet must be included by the Certified Public Accountant.
 - (i) Any other financial information deemed necessary to determine financial adequacy of the applicant.
- (2) Two Copies of Prior year annual financial statements (if your firm was not qualified the previous year).
- (3) Two Copies of Letters of Recommendation, if applicable (required of those entities not qualified in the last two years). Specific information requirements for letters of recommendation may be found in Section 14-22.002(4)(b), Florida Administrative Code.
- (4) Optional Item – Excel financial analysis workbook. This is available on our website under optional downloads at: <http://www.dot.state.fl.us/cc-admin>

DETAILS RELATIVE TO ASSETS (Continued)
(Except for Personal Financial Statements)

8*	Real Estate At Book Value	(a) Presently used in construction or highway contracting business**	\$ _____	Totals
		(b) Not presently used in construction or highway contracting business	\$ _____	
ITEM NUMBER AND DESCRIPTION OF PROPERTY		HELD IN WHOSE NAME	TOTAL BOOK VALUE	AMOUNT OF ENCUMBRANCE
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				
11				
12				
13				
14				

* Please indicate under Item Number and Description of Property with subscript (a) which Real Estate is presently used in construction or highway contracting business and by subscript (b) which is not presently used in construction or highway contracting business and encumbrances for type (a) and (b). Attach all appraisals of real estate (if any). (Appraisals shall be by a qualified real estate appraiser identified with the applicant and signed and dated by the appraiser). Appraisals must be no older than two years prior to the date the application is filed. See Rule Chapter 14-22, Florida Administrative Code, for details and definitions.

RECEIVABLES from Subsidiaries and Affiliates	
NAME AND ADDRESS	AMOUNT

INVESTMENTS in Subsidiaries and Affiliates	
NAME AND ADDRESS	AMOUNT

** Highway contracting business is the construction of roads, bridges or public transportation projects, and includes the conducting of business necessary to accomplish work in the approved work classes applied for.

DETAILS RELATIVE TO ASSETS (Continued)

ATTACH APPRAISALS OF EQUIPMENT HERE (If Any)
(For an appraisal to be acceptable, the equipment must be personally inspected by a Qualified Equipment Appraiser, see Rule Chapter 14-22, Florida Administrative Code for details and definitions)

9	Equipment at book value \$ _____ (Except for Personal financial statements)
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ITEM NO.	QUAN-TITY	DESCRIPTION AND CAPACITY OF ITEMS <small>(Do not lump items except small hand tools and items of the same type and size)</small>	YEAR MFGD	PURCHASE PRICE	DEPRECIATED VALUE
1					
2					
3					
4					
5					
6					
7					
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11					
12					
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45					
46					
47					
48					

DETAILS RELATIVE TO ASSETS (Continued)

9 (Continued)					
ITEM NO.	QUAN-TITY	DESCRIPTION AND CAPACITY OF ITEMS <small>(Do not lump items except small hand tools and items of the same type and size)</small>	YEAR MFGD	PURCHASE PRICE	DEPRECIATED VALUE
49					
50					
51					
52					
53					
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55					
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59					
60					
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80					

Are there any liens against the above? _____ If so, state total amount\$ _____

- NOTE: 1. LETTERS OF INTENT TO RENT EQUIPMENT FROM EQUIPMENT RENTAL COMPANIES OR CERTIFIED STATEMENTS OF AVAILABILITY OF EQUIPMENT FROM AFFILIATED COMPANIES MAY BE USED FOR OBTAINING CLASSES OF WORK AND SHOULD BE ATTACHED TO THIS PAGE. THE SAME EQUIPMENT CAN BE USED TO QUALIFY NO MORE THAN TWO (2) AFFILIATED APPLICANTS. REFER TO SECTION 14-22.002(3), FLORIDA ADMINISTRATIVE CODE, FOR DETAILS.
2. LIST LEASEHOLD IMPROVEMENTS SEPARATELY AND DISCLOSE THEIR BOOK VALUE.
LEASEHOLD IMPROVEMENTS BOOK VALUE AS OF BALANCE SHEET DATE \$ _____
3. LIST CAPITAL LEASE EQUIPMENT ITEMS SEPARATELY AND DISCLOSE THEIR BOOK VALUE. THE NOTES TO YOUR AUDITED FINANCIAL STATEMENTS SHOULD DISCLOSE THE PRESENT VALUE OF THE MINIMUM LEASE PAYMENTS FOR CAPITAL LEASE EQUIPMENT.
BOOK VALUE OF EQUIPMENT UNDER CAPITAL LEASE AS OF BALANCE SHEET DATE
\$ _____
PRESENT VALUE OF CAPITAL LEASE PAYMENTS AS OF BALANCE SHEET DATE \$ _____

DETAILS RELATIVE TO ASSETS (Continued)

10	(Except for personal financial statements) Investments listed at fair value \$ _____		
Listed:	DESCRIPTION	PRESENT MARKET VALUE	QUANTITY
1			
2			
3			
4			
5			
6			
7			
Unlisted: (State below under "Explanation," how market value was determined)			
Explanation:			
Does Company have all Securities in its possession? Yes <input type="checkbox"/> No <input type="checkbox"/>			
LIST ALL NOT IN POSSESSION BELOW			
ITEM NO.	WHO HAS POSSESSION?	GIVE REASONS	AMOUNT

11	Inventory of Materials and Supplies: (a) Indicate inventory method used for statements _____ (b) For use on uncompleted contracts (current market value)..... \$ _____ (c) Other materials (current market value)..... \$ _____		
DESCRIPTION OF MATERIAL	SHOW LOCATION OF MATERIAL (CITY, STATE PROJECT NO.)	PRESENT VALUE	
		FOR UNCOMPLETED CONTRACTS	OTHER MATERIALS

12	Other Assets TOTAL CURRENT \$ _____	
 TOTAL NON-CURRENT \$ _____	
DESCRIPTION	AMOUNT	

NOTE: THE TOTAL ASSETS OF ITEMS 1 - 12 MUST EQUAL THE TOTAL ASSETS ON THE BALANCE SHEET.

Florida Statute 337.165(1) (a) defines the term "affiliate" as follows: The term "affiliate" means a predecessor or successor of a contractor under the same, or substantially the same, control or a group of business entities which are connected or associated so that one entity controls or has the power to control each of the other business entities. The term "affiliate" includes the officers, directors, executives, shareholders active in management, employees and agents of the affiliate. The ownership by one business entity of a controlling interest in another business entity or a pooling of equipment or income among business entities shall be prima facie evidence that one business entity is an affiliate of another.

PLEASE COMPLETE QUESTIONS EIGHT (8), NINE (9) AND TEN (10) USING THE ABOVE DEFINITION OF "AFFILIATE".

8. List the following for all affiliated companies: (Include companies listed in Questions 6 and 7 as well as any additional companies)		Explain in detail your connection with this company and whether or not this company is qualifying with FDOT
NAME AND ADDRESS	STATES QUALIFIED IN (if any)	

9. Has the firm, an affiliate, an officer, a director, an agent, an employee or a member of your firm, or that of an affiliate, ever been indicted, had a criminal information filed against it, pled guilty, pled nolo contendere, or been convicted of any act prohibited by state or federal criminal law which involves fraud, bribery, collusion, conspiracy, violation of state or federal antitrust laws, or material misrepresentation committed in any federal or state jurisdiction with respect to be public contract? Yes _____ No _____. If so, state the name(s) of the individual(s) and/or organization(s) _____

_____ where action(s) taken _____
 date(s) of action(s) _____
 case number(s) _____
 and court(s) action(s) taken in _____

10. Please state whether or not your company or any of its affiliates are presently barred or suspended from bidding or contracting on any state or federal-aid contracts in any state(s)? Yes _____ No _____. If so, state the name(s) of the company(ies), _____

_____ the state(s) where barred or suspended _____
 and the period(s) of debarment or suspension _____

21 The applicant hereby applies for qualification to perform each class of work indicated below by placing a mark (x) in the appropriate box(es).

- 1. Major Bridges
 - a. Bridges which include Bascule Spans
 - b. Bridges which include Curved Steel Girders
 - c. Bridges with Multi-Level Roadways
 - d. Bridges of Concrete Segmental Construction
 - e. Bridges which include Steel Truss Construction
 - f. Bridges which include Cable Stayed Construction
 - g. Bridges of conventional construction which are over a water opening of 1000 feet or more
 - h. Cast-in-Place Post-Tensioned Superstructures
- 7. Intermediate Bridges (Bridges that contain none of the types of construction listed under Major Bridges and span lengths exceeding 50 feet (center to center of cap))
- 2. Minor Bridges (Bridges with span lengths not exceeding 50 feet (center to center of cap) and total length not exceeding 300 feet. A Minor Bridge shall not contain any types of construction listed under Major Bridges or Intermediate Bridges.)
- 8. Bascule Bridge Rehabilitation
- 3. Grading (Includes clearing and grubbing, excavation, and embankment)
- 9. Drainage (All storm drains, pipe culverts, culvert, etc.)
- 4. Flexible Paving (Includes limerock and shell base and other optional base course, soil-cemented based, mixed-in place bituminous paving, bituminous surface treatments, and stabilizing)
- 5. Portland Cement Concrete Roadway Paving
- 6. Hot Plant-Mixed Bituminous Structural and Surface Courses
- 10. Specialty Classes of Work:
 - a. Electrical Work (Includes roadway, bridge and runway lighting)
 - b. Fencing
 - c. Guardrail
 - d. Grassing, Seeding and Sodding
 - e. Landscaping
 - f. Bridge Painting
 - g. Pavement Markings (Includes delineators, traffic stripe painting and thermoplastics)
 - h. Roadway Signing
 - j. Traffic Signals
 - k. Computerized Traffic Control Systems
 - z. Other (Specify) _____

List the states in which you are qualified, the type of work qualified for, and the maximum capacity rating (if any)

STATE	CLASSES OF WORK*	AMOUNT OF MAXIMUM CAPACITY RATING
		\$
		\$
		\$
		\$
		\$

*Classes from those listed above

22	EMPLOYMENT DATA (INSERT ACTUAL NUMBER EMPLOYEES EMPLOYED BY YOUR FIRM FOR EACH CATEGORY)	
		TABLE A
JOB CATEGORIES		TOTAL EMPLOYEES
OFFICIALS (MANAGERS)		
SUPERVISORS		
FOREMEN		
CLERICAL		
EQUIPMENT OPERATORS		
MECHANICS		
TRUCK DRIVERS		
IRONWORKERS		
CARPENTERS		
CEMENT MASONS		
ELECTRICIANS		
PIPEFITTERS, PLUMBERS		
PAINTERS		
LABORERS, SEMI-SKILLED		
LABORERS, UNSKILLED		
TOTALS		
		TABLE B
APPRENTICES		
ON-THE-JOB TRAINEES		

23	AFFIDAVIT
AFFIDAVIT FOR APPLICANT FIRM	
<p>State of _____</p> <p>County of _____</p> <p>_____, being duly sworn, deposes and says that the foregoing financial statements, are a true and accurate statement of his financial position as of the date thereof, and that the answers to the interrogatories contained therein are true; and, that the statements and answers to the interrogatories of the foregoing experience questionnaire are correct and true as of the date of this affidavit; and, that he understands that intentional inclusion of false, deceptive or fraudulent statements on this application constitutes fraud; and, that the State of Florida considers such action on the part of the applicant to constitute good cause for denial, suspension or revocation of a Certificate of Qualification for bidding on State and Federal Aid highway projects let to contract by the State of Florida Department of Transportation.</p>	
<p>COPORATE SEAL (IF APPLICABLE)</p>	<p>_____ (Authorized representative signature & title)</p>
<p>Sworn to before me this _____ day of _____, _____ by _____ (name of affiant). He/She is personally known to me or has produced _____ (type of identification) as identification.</p>	
<p style="text-align: right;">_____ Notary's Signature</p>	
<p>* If Applicant Firm is a Corporation – an Officer must sign; If Application Firm is a Partnership – a Partner must sign; If Application Firm is a Sole Proprietorship – Owner must sign</p>	<p style="text-align: right;">_____ Notary's Printed Name (SEAL) My Commission Expires _____</p>

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