

**GENERAL INFORMATION AND INSTRUCTIONS
FOR PREPARING
CONTRACTOR'S PREQUALIFICATION STATEMENT (CON-16)**

1. GENERAL REQUIREMENTS - Contractors must be prequalified by the Department in accordance with the State of Connecticut Department of Transportation Construction Contract Bidding and Award Manual, as revised, in order to be eligible to have their bid proposals reviewed and to be considered for award of a contract, unless otherwise stated in the Departments bid documents.

a. In order to be considered for prequalification, prospective bidders must complete the attached Contractors Prequalification Statement (CON-16) application and submit it to:

**CONNECTICUT DEPARTMENT OF TRANSPORTATION
CONTRACT SECTION - ROOM 1318
2800 BERLIN TURNPIKE, P.O. BOX 317546
NEWINGTON, CONNECTICUT 06131-7546**

b. THE PAGES IN THIS APPLICATION MAY NOT BE MODIFIED OR SUBSTITUTED.

c. To be eligible for prequalification, applicants must have been engaged in active business as a construction contractor for a minimum of one year under the name of the firm applying for prequalification, and must provide a current one year financial statement for that firm. The financial portion of the statement may be based upon the contractor's most recently-completed fiscal year for which data is available, provided that the ending date of that fiscal year is not more than six (6) months prior to the date on which the contractor's prequalification statement is received by the Department.

d. Prequalification is valid for a sixteen (16) month period from the close of business date indicated on the financial statement. In order to help ensure that contractors may become prequalified in time for the bid opening for a given contract, contractors should be certain to return the form with all necessary information, signatures and notarizations to the Manager at least thirty (30) calendar days before requesting a bid proposal form for that contract.

For corporations, a current Certificate of Authority (foreign corporation) or current Certificate of Incorporation (domestic corporation) whichever is applicable, is required to be on file with the Connecticut Secretary of the State.

Limited Liability Companies (LLCs) must have been legally formed and organized in accordance with Connecticut General Statutes 34-110 to 34-242 and shall not be in default for failure to file its annual report with the Connecticut Secretary of the State.

Documentation from the Connecticut Secretary of the State relative to the status of corporations and LLCs must be provided by the applicant if requested by the Department.

e. If this application is for RENEWAL of your CON-16, the expiration date of your current CON-16 is _____ . Your Renewal Application should be received in this office thirty (30) days prior to the expiration date to allow time for processing and for your firm to remain in our active file.

f. Corporations, related to each other through ownership interests or an interlocking directorate or in other significant respects, may not seek prequalification in combination, and may not submit consolidated financial statements in seeking prequalification. The legal independence of a corporation or joint venturer must be reflected in the presentation of information about its finances; e.g., in presenting the assets of an applicant corporation, one may include the value of the stock owned by the applicant in a wholly-owned corporate subsidiary, but not, for instance, the value of equipment owned by the subsidiary corporation. In addition, only organizations which the Department deems to be true construction contractors with respect to a

classification of work for which they seek prequalification (*i.e.*, organizations having sufficiently-experienced personnel, sufficient equipment and finances, etc. to perform construction work within that classification) may seek or be granted prequalification to bid for work within that classification. If the Department deems that a substantial portion of the resources of an organization seeking prequalification is devoted to activities other than construction work within the pertinent classification(s), the Department may make what it deems to be an appropriate adjustment of the organization's bidding capacity or of the classification(s) of work for which it is prequalified.

If a subsidiary of a contractor wants to bid as an independent entity, that subsidiary must furnish to the Manager a contractor's prequalification statement based on the discrete finances and experience of that subsidiary. No so-called consolidated financial statements will be accepted for such subsidiaries, or for companies having a common owner.

PART A

2. DETAILS OF ORGANIZATION AND EXPERIENCE - On pages 2 - 4 of the CON-16, the applicant must answer all questions and provide all items of information requested pertaining to the organization and experience of the firm.
3. EQUIPMENT OWNERSHIP - On page 5 of the CON-16, list construction equipment owned by the applicant; also show equipment age, condition, purchase price, and book value. For purposes of prequalification, the book value is defined as the purchase price minus the total accumulated depreciation. Depreciation must be calculated by those methods permissible by "Generally Accepted Accounting Principles".
4. PREQUALIFICATION WORK CLASSIFICATIONS - On page 6 of the CON-16, the applicant must mark the type(s) of work for which prequalification is sought. Specific project experience related to the work classifications indicated on page 6 must be listed on page 4.

PART B

5. CONTRACTOR'S FINANCIAL STATEMENT - On pages 7 - 9 of the CON-16, the applicant must complete the entire contractor's financial statement for its latest fiscal period. The financial portion of the statement may be based upon the contractor's most recently-completed fiscal year for which data is available, provided that the ending date of that fiscal year is not more than six (6) months prior to the date on which the contractor's prequalification statement is received by the Department.

In addition, the applicant must submit a separate audited or reviewed financial statement prepared by an independent Certified Public Accountant (CPA) for the same fiscal period and must conform with generally-accepted accounting principles (GAAP). The financial statement shall include at minimum, the CPA's opinion statement, balance sheet, profit and loss statement, and all related notes. (see page i, 1f).

6. ATTESTATION REPORTS - On pages 10 - 11 of the CON-16, the appropriate report must be signed by the applicant's independent CPA who completed the report. These forms may not be altered or substituted for without the consent of the Department's Office of External Audits.

The applicant's CPA must attest that the information contained on pages 7-9 of this application is fairly stated in all material respects in relation to the financial statements taken as a whole.

7. CERTIFICATION OF CONTRACTOR'S PREQUALIFICATION STATEMENT - On page 12 of the CON-16, this statement must be properly completed and signed by a duly-authorized representative of the applicant; must bear the Corporate Seal, if applicable, and must be properly notarized.

8. CERTIFICATE OF AUTHORITY - On page 13 of the CON-16, this statement must be properly completed and indicate those individuals in your organization who have the authority to sign bonds, legal documents and contracts on behalf of your organization. The individuals given such authority under this document must affix their signatures and indicate their titles, if applicable, on page one of the CON-16 application. This form may not be altered or cannot be substituted for; must bear the Corporate Seal, if applicable and must be properly notarized.

PART C

9. PROPOSAL REQUEST OR SUBMISSION FORM (PART C), page 14 - The Part C, Bid Proposal Request or Submission Form, must be completed and submitted for the project you are interested in bidding. In order to be eligible for award of a given contract, a bidder must have an approved CON-16 on file with the Department at the time of the bid opening for that contract. The Part C form must list ALL outstanding private and public work, both bonded and not bonded, in State and out of State, in any jurisdiction, and must be signed by individuals authorized to sign on behalf of the bidder as indicated in the approved CON-16 on file for that firm. Bidders that fail to provide all requested information, or who misrepresent such information, may have their bid rejected as nonresponsive and, if they become the apparent low bidder for a contract, may be deemed nonresponsive as such.

10. PREQUALIFICATION -

- a. Based on the information provided, the Department will establish a bidding capacity for the applicant and determine the classifications of work for which the applicant is prequalified to bid. The applicant will be notified in writing of this determination.
- b. The Department will determine the contractor's Maximum Capacity Rating according to the following formula:

$$M = F(SE + 50\% TAD)$$

IN WHICH:

M = Maximum Capacity Rating

F = Ability Factor, 10 is used for all contractors

SE = Total Owner's/Stockholder's Equity

TAD = Total Accumulated Depreciation

11. REVISIONS IN PREQUALIFICATION STATUS –

a. The Department may reduce or revoke the contractor's prequalification status based on the contractor's performance record with regard to quality of work, timely completion, debarment by others, changed financial status, or other pertinent factors.

b. If, after filing a contractor's prequalification statement, changes occur in the contractor's organization, finances, other resources or experience, which a reasonable person would believe had significantly affected the classifications or amount of work for which the Department ought to prequalify the contractor, the contractor shall promptly give detailed written notice of said changes to the Manager. The Department may then alter the contractor's prequalification in any way which the Manager believes is warranted by said changes, and the Manager will notify the contractor of the Department's decisions regarding those matters.

A prequalified contractor that desires, in light of such changes, to have the Department change the classifications of work or bidding capacity for which it has been prequalified, may file a new or revised statement, and may then request reconsideration of its prequalification status. Such a revised statement and request for reconsideration may not, however, be submitted any earlier than six (6) months after the contractor's last submittal of a prequalification statement acceptable to the Department.

The Department may waive this six-month waiting period if, in the opinion of the Manager, changes have occurred in the applicant's circumstances which warrant such an exception. So that the Department has time to consider such a request prior to a scheduled bid opening, the Department asks that additional information supporting such a request be submitted to the Department a minimum of twenty (20) days prior to requesting a bid proposal for the subject contract.

In any event, the contractor's bidding capacity will be adjusted, if appropriate, whenever the contractor files a new part B with its bid proposal. But bidders will not be allowed to increase their bidding capacity by infusing additional capital into the bidder, or by other means, for the purpose of becoming eligible for award of a contract being bid, once the bidding for the contract has been closed.

12. **CONFIDENTIALITY** - The contractor's statements and requests for proposal forms submitted to the Department will be treated as confidential, for official Department use only, and will not be open to public inspection, except as may be required by law. It is the Department's position that pursuant to Connecticut General Statutes Section 1-210(b) (5) such documents are exempt from disclosure under the Connecticut Freedom of Information Act, and that the Department will not disclose such documents in response to requests made under that Act.

13. **PAINTING** - Painting Contractors and subcontractors engaged in surface preparation and coating applications must be certified by the Society for Protective Coatings (SSPC) in accordance with contract provisions.

14. **DEMOLITION** - Contractors and subcontractors engaged in demolition work must be certified as a Demolition Contractor by the Connecticut Department of Public Safety.

15. The Department reserves the right to request additional information deemed necessary to substantiate documentation submitted in the CON-16.

BIDDING INFORMATION

Bidding requirements and conditions are set forth in Section 1.02 "Proposal Requirements and Conditions of the State of Connecticut, Department of Transportation Standard Specifications for Roads, Bridges, and Incidental Construction, as revised and the State of Connecticut Department of Transportation Construction Contract Bidding and Award Manual, as revised.

No bidders that have mutual financial interests, or common ownership, directors, officers or principal shareholders (i.e., shareholders holding at least {5%} of either the common or the preferred shares of the company's stock) may bid for the same Department contract. Such proscribed bidders shall include, but not be limited to, affiliates and subsidiaries of each other. If any non-bidding party has an ownership interest in more than one bidder that is bidding for a given contract, either directly or through the former's ownership interests in another company, no matter how high up removed in a vertical or horizontal chain of ownership that party might be from the bidders, the bids of those bidders shall not be accepted. In addition, with respect to any given Department contract that is advertised for bidding, no bidder owned by, or in the chain of ownership of, a bonding company may bid against a bidder for whom a bond has been or will be provided by that bonding company for the given contract bidding.

Awards will be made only to bidders prequalified to perform the type of work required by the subject contract, and only if they have sufficient bidding capacity remaining after taking into account all outstanding work to be completed by the bidder. Contractors whose current Parts B and C as of the time of the bid opening for a given contract do not show that the contractor has sufficient bidding capacity to be eligible for award of that contract may be subject to a finding of nonresponsibility if the contractor becomes the apparent low bidder for that contract.

**STATE OF CONNECTICUT
DEPARTMENT OF TRANSPORTATION
BUREAU OF FINANCE & ADMINISTRATION
CONTRACTS SECTION**

CONTRACTOR'S PREQUALIFICATION STATEMENT = CON-16 (REV. 11-07)

Submit to the: Department of Transportation, Bureau of Finance & Administration
Contracts Section, 2800 Berlin Tpke., Box 317546, Newington, CT 06131-7546

NAME OF FIRM _____

CONTRACTOR'S FEDERAL IDENTIFICATION NUMBER _____

ADDRESS _____ CORPORATION _____
_____ INDIVIDUAL _____
_____ PARTNERSHIP _____
_____ LLC _____
_____ OTHER _____
explain _____
STATE INCORPORATED _____

Telephone & Area Code _____ DATE INCORPORATED _____

Fax Number & Area Code _____ IN BUSINESS SINCE _____

SIGNATURE(S) OF INDIVIDUAL(S) AUTHORIZED TO SIGN LEGAL DOCUMENTS

| <u>NAME OF OFFICER</u> | <u>TITLE</u> | <u>SIGNATURE</u> |
|------------------------|--------------|------------------|
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |

FOR OFFICE USE ONLY

1) CLASSIFICATION OF WORK: _____

2) MAXIMUM CAPACITY RATING: _____

COMMENTS: _____

REVIEWED BY: _____

APPROVED: _____ DATE: _____

DISAPPROVED: _____ DATE: _____

| |
|---|
| <u>EXPIRATION DATE:</u> _____ _____ |
|---|

DETAILS OF ORGANIZATION AND EXPERIENCE

Part "A"

1. How many years experience in related construction work has your organization had:
(a) As a general contractor? _____ (b) As a subcontractor? _____

2. Have you, your organization, your parent company*, your subsidiaries or your affiliates or any officer or partner thereof, ever been barred or suspended from bidding, found nonresponsible as a low bidder, had a contract terminated or been denied the award of a contract for any reason by any Federal, State or Municipal entity in any jurisdiction or agreed with any governmental entity not to bid for its contracts for a given period of time? _____yes _____no.

If yes, please explain details and grounds of action taken. Include name of agency or municipality and length of suspension or debarment. _____

3. Have you, your organization, your parent company*, your subsidiaries or your affiliates or any officer or partner thereof, ever failed to complete the construction work under any contract awarded to it either as a prime contractor or subcontractor? _____yes _____no. If yes, describe details on attachment: _____

4. List the names, detailed addresses and titles of your firm's employees, officials and/or spouses (including yourself) who have an ownership and/or financial involvement with your firm. In addition give names and detailed addresses of all others owning 5% or more of the outstanding stock of your firm:** _____

5. List the names, detailed addresses and titles of the applicant firm's officials and/or spouses (including yourself) who are employees or have at least 5 % ownership and/or financial involvement with any **other** construction-related entity (including, but not limited to, bonding companies, construction or engineering firms, suppliers, manufacturers or consultants). Include names of other entities, detailed addresses and positions held)** _____

6. Give names and detailed addresses of your parent company* (if any) and all of the applicant's affiliates and/or subsidiaries and the officers thereof.** _____

7. Control of firm: Identify by name and title, those individuals in the applicant's firm who are responsible for day-to-day management and policy decision making:
A. Financial Decisions: _____
B. Estimating: _____
C. Purchases of Major Items or Supplies: _____
D. Field Operations: _____
E. Who has signatory authority over bank accounts: _____

PLEASE ATTACH ADDITIONAL SHEETS AS NECESSARY

* Parent company shall mean not only a party or entity that holds a direct controlling interest in the applicant but any and all parties that are above the applicant in a chain of ownership or control.

** If there are no individual names or companies pertinent to Items 4, 5 and 6, please indicate NONE in the space provided above. DNA and N/A ARE NOT ACCEPTABLE.

PREQUALIFICATION WORK CLASSIFICATIONS

PLEASE CHECK THE APPROPRIATE CLASSIFICATION(S) OF WORK FOR WHICH YOUR FIRM IS REQUESTING PREQUALIFICATION. IF YOU ARE INTERESTED IN ALL CLASSES IN A MAJOR GROUP, IT IS ONLY NECESSARY TO PUT A CHECK NEXT TO THE MAJOR GROUP. CLASSES OF WORK WHICH YOUR FIRM IS INTERESTED IN BEING PREQUALIFIED FOR, MUST BE SUBSTANTIATED ON PAGE 4 OF THE CON-16, IN ACCORDANCE WITH YOUR FIRM'S PAST EXPERIENCE.

- _____ **GROUP NO. 1 - EARTHWORK**
- _____ CLASS 1 CLEARING AND GRUBBING
- _____ CLASS 2 EXCAVATION - ROADWAY & STRUCTURE
- _____ CLASS 3 PILE DRIVING, COFFERDAM AND PUMPING
- _____ CLASS 4 TRENCH, DITCH & CHANNEL EXCAVATION

- _____ **GROUP NO. 2 - ROADWAY SUBSURFACE & SURFACE TREATMENT**
- _____ CLASS 5 DRAINAGE SYSTEMS
- _____ CLASS 6 PLACEMENT OF BITUMINOUS CONCRETE PAVEMENT
- _____ CLASS 7 PLACEMENT OF CONCRETE PAVEMENT
- _____ CLASS 8 PLACING OF SUBSURFACE MATERIAL
- _____ CLASS 9 SAWING & SEALING OF JOINTS & CRACKS
- _____ CLASS 10 PROCESSING AND / OR PLACING RECLAIMED ASPHALT PAVEMENT

- _____ **GROUP NO. 3 - BRIDGE STRUCTURES**
- _____ CLASS 11 CONSTRUCT AND / OR REMOVE BRIDGES
- _____ CLASS 12 BRIDGE REHABILITATION / BRIDGE DECK REPAIR
- _____ CLASS 13 BRIDGE PAINTING

- _____ **GROUP NO. 4 - VERTICAL CONSTRUCTION**
- _____ CLASS 14 BUILDINGS (CHECK APPLICABLE AREAS)
 - _____ SITE WORK
 - _____ MECHANICAL
 - _____ ELECTRICAL
 - _____ HVAC
 - _____ CONCRETE / MASONRY
 - _____ PLUMBING
 - _____ CARPENTRY
 - _____ METALS
 - _____ THERMAL / MOISTURE PROTECTION
 - _____ DOORS & WINDOWS
 - _____ FINISHES
 - _____ SPECIALTY, EXPLAIN _____

- _____ **GROUP NO. 5 - TRAFFIC CONTROL & ILLUMINATION**
- _____ CLASS 15 INSTALLATION OF TRAFFIC SIGNALS & CONTROL SYSTEMS
- _____ CLASS 16 ROADWAY ILLUMINATION
- _____ CLASS 17 INSTALLATION OF ROADWAY SIGNS & DELINEATORS
- _____ CLASS 18 PAVEMENT MARKINGS
- _____ CLASS 19 GUIDERAILING AND / OR IMPACT ATTENUATION

- _____ **GROUP NO. 6 - RAILROAD**
- _____ CLASS 20 RAILROAD CONSTRUCTION
- _____ CLASS 21 REHABILITATION OF EXISTING R.R. GRADE CROSSING & R.R. TRACKS
- _____ CLASS 22 CATENARY & ELECTRICAL WORK

- _____ **GROUP NO. 7 - INCIDENTAL CONSTRUCTION**
- _____ CLASS 23 PLACING OF BITUMINOUS CONCRETE OR STONE CURBING
- _____ CLASS 24 STONE WALL MASONRY
- _____ CLASS 25 INSTALLATION OF FENCES
- _____ CLASS 26 PLANTING AND / OR LANDSCAPING
- _____ CLASS 27 DEMOLITION, EXPLAIN _____
- _____ CLASS 28 OTHER, EXPLAIN _____

Fiscal Year Ending: MM/DD/YY

ASSETS

| Current Assets | | SUB-TOTAL | TOTAL |
|---|-----------------------------|----------------------|----------------------|
| 1. CASH: | On hand | <input type="text"/> | |
| | On deposit | <input type="text"/> | |
| | Total | | <input type="text"/> |
| 2. ACCOUNTS RECEIVABLE: | Construction | <input type="text"/> | |
| (explain on page 9) | Non-construction | <input type="text"/> | |
| | Total | | <input type="text"/> |
| 3. NOTES RECEIVABLE: | (due within 1 yr.) | | <input type="text"/> |
| 4. INVENTORY: | | | <input type="text"/> |
| 5. MARKETABLE SECURITIES: | | | <input type="text"/> |
| 6. PREPAID ITEMS: | | | <input type="text"/> |
| 7. ACCRUED ITEMS: | Interest | <input type="text"/> | |
| | Other | <input type="text"/> | |
| | Total | | <input type="text"/> |
| 8. OTHER CURRENT ASSETS: | | | <input type="text"/> |
| <i>TOTAL CURRENT ASSETS</i> | | | <input type="text"/> |
| Non-Current Assets | | | |
| 9. NOTES RECEIVABLE: | (after 1 yr.) | | <input type="text"/> |
| 10. CASH SURRENDER VALUE (CSV) LIFE INSURANCE: | (Proceeds Payable to Corp.) | | <input type="text"/> |
| 11. CONSTRUCTION EQUIPMENT COST: (purchase price) | | <input type="text"/> | |
| (Less Total Accumulated Depreciation) | | <input type="text"/> | |
| Net | | | <input type="text"/> |
| 12. OTHER FURNITURE, FIXTURES and EQUIPMENT | | <input type="text"/> | |
| (Less depreciation) | | <input type="text"/> | |
| Net | | | <input type="text"/> |
| 13. REAL ESTATE: | | <input type="text"/> | |
| (Less depreciation) | | <input type="text"/> | |
| Net | | | <input type="text"/> |
| 14. OTHER NON-CURRENT ASSETS: | | | <input type="text"/> |
| <i>TOTAL NON-CURRENT ASSETS</i> | | | <input type="text"/> |
| TOTAL ASSETS | | | <input type="text"/> |

* You must attach a separate Audited or Reviewed Financial Statement as required under Part B, Item 5 of the Instructions.

LIABILITIES AND STOCKHOLDERS EQUITY

| | SUB-TOTAL | TOTAL | | | | | | | | | | |
|---|---|--|---|--------------|---|-----------------|---|-------|---|-------|---|--|
| Current Liabilities | | | | | | | | | | | | |
| 1. ACCOUNTS PAYABLE: (explain on page 9) | | <input style="width: 100%;" type="text"/> | | | | | | | | | | |
| 2. NOTES PAYABLE: (due within 1 yr.) | <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30%;">Equipment</td> <td style="width: 30%;"><input style="width: 100%;" type="text"/></td> </tr> <tr> <td>Stockholders</td> <td><input style="width: 100%;" type="text"/></td> </tr> <tr> <td>Other</td> <td><input style="width: 100%;" type="text"/></td> </tr> <tr> <td style="text-align: right;">Total</td> <td style="text-align: center;"><input style="width: 100%;" type="text"/></td> </tr> </table> | Equipment | <input style="width: 100%;" type="text"/> | Stockholders | <input style="width: 100%;" type="text"/> | Other | <input style="width: 100%;" type="text"/> | Total | <input style="width: 100%;" type="text"/> | | | |
| Equipment | <input style="width: 100%;" type="text"/> | | | | | | | | | | | |
| Stockholders | <input style="width: 100%;" type="text"/> | | | | | | | | | | | |
| Other | <input style="width: 100%;" type="text"/> | | | | | | | | | | | |
| Total | <input style="width: 100%;" type="text"/> | | | | | | | | | | | |
| 3. TAXES AND ACCRUALS: | | <input style="width: 100%;" type="text"/> | | | | | | | | | | |
| 4. OTHER CURRENT LIABILITIES: | | <input style="width: 100%;" type="text"/> | | | | | | | | | | |
| <i>TOTAL CURRENT LIABILITIES</i> | | <input style="width: 100%;" type="text"/> | | | | | | | | | | |
| Long Term Liabilities | | | | | | | | | | | | |
| 5. NOTES PAYABLE: (after 1 yr.) | <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30%;">Equipment</td> <td style="width: 30%;"><input style="width: 100%;" type="text"/></td> </tr> <tr> <td>Real Estate</td> <td><input style="width: 100%;" type="text"/></td> </tr> <tr> <td>Stockholders</td> <td><input style="width: 100%;" type="text"/></td> </tr> <tr> <td>Other</td> <td><input style="width: 100%;" type="text"/></td> </tr> <tr> <td style="text-align: right;">Total</td> <td style="text-align: center;"><input style="width: 100%;" type="text"/></td> </tr> </table> | Equipment | <input style="width: 100%;" type="text"/> | Real Estate | <input style="width: 100%;" type="text"/> | Stockholders | <input style="width: 100%;" type="text"/> | Other | <input style="width: 100%;" type="text"/> | Total | <input style="width: 100%;" type="text"/> | |
| Equipment | <input style="width: 100%;" type="text"/> | | | | | | | | | | | |
| Real Estate | <input style="width: 100%;" type="text"/> | | | | | | | | | | | |
| Stockholders | <input style="width: 100%;" type="text"/> | | | | | | | | | | | |
| Other | <input style="width: 100%;" type="text"/> | | | | | | | | | | | |
| Total | <input style="width: 100%;" type="text"/> | | | | | | | | | | | |
| 6. TAXES: (after 1 yr.) | | <input style="width: 100%;" type="text"/> | | | | | | | | | | |
| 7. OTHER LONG TERM LIABILITIES: | | <input style="width: 100%;" type="text"/> | | | | | | | | | | |
| <i>TOTAL LONG TERM LIABILITIES</i> | | <input style="width: 100%;" type="text"/> | | | | | | | | | | |
| Owner's / Stockholder's Equity | | | | | | | | | | | | |
| 8. CAPITAL STOCK: | <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30%;">Common</td> <td style="width: 30%;"><input style="width: 100%;" type="text"/></td> </tr> <tr> <td>Preferred</td> <td><input style="width: 100%;" type="text"/></td> </tr> <tr> <td>(Less Treasury)</td> <td><input style="width: 100%;" type="text"/></td> </tr> <tr> <td style="text-align: right;">Total</td> <td style="text-align: center;"><input style="width: 100%;" type="text"/></td> </tr> </table> | Common | <input style="width: 100%;" type="text"/> | Preferred | <input style="width: 100%;" type="text"/> | (Less Treasury) | <input style="width: 100%;" type="text"/> | Total | <input style="width: 100%;" type="text"/> | | | |
| Common | <input style="width: 100%;" type="text"/> | | | | | | | | | | | |
| Preferred | <input style="width: 100%;" type="text"/> | | | | | | | | | | | |
| (Less Treasury) | <input style="width: 100%;" type="text"/> | | | | | | | | | | | |
| Total | <input style="width: 100%;" type="text"/> | | | | | | | | | | | |
| 9. INDIVIDUAL OR PARTNERSHIP CAPITAL: | | <input style="width: 100%;" type="text"/> | | | | | | | | | | |
| 10. ADDITIONAL PAID-IN CAPITAL: | | <input style="width: 100%;" type="text"/> | | | | | | | | | | |
| 11. RETAINED EARNINGS: | | <input style="width: 100%;" type="text"/> | | | | | | | | | | |
| <i>TOTAL OWNER'S / STOCKHOLDER'S EQUITY</i> | | <input style="width: 100%;" type="text"/> | | | | | | | | | | |
| TOTAL LIABILITIES & STOCKHOLDER'S EQUITY> | | <input style="width: 100%; background-color: #cccccc;" type="text"/> | | | | | | | | | | |

DETAILS

Accounts Receivable*

| Receivable From - Name & Address | Construction (C) or Non-Construction(NC) | AMOUNT |
|----------------------------------|---|--------|
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |

Have any of the above been assigned, pledged or sold?

If yes, state amount, to whom and reason

| |
|--|
| |
| |
| |
| |

Accounts Payable*

| Payable to - Name & Address | For What | Date Payable | AMOUNT |
|-----------------------------|-------------|-----------------|--------|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

* List separately each item amounting to 10% or more of the total and combine the remainder.

REPORT OF INDEPENDENT ACCOUNTANTS

We have audited the accompanying prescribed contractor's financial statement of _____
_____(firm name) as of _____(date) included on pages 7 and 8 of the
accompanying Contractor's Prequalification Statement CON-16 (REV. 11-07). This financial statement is the
responsibility of the company's management. Our responsibility is to express an opinion on this financial statement
based on our audit.

We conducted our audit in accordance with auditing standard generally accepted in the United States of
America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the
financial statement is free of material misstatement. An audit includes consideration of internal control over financial
reporting as a basis for designing audit procedures that are appropriate in the circumstances, but not for the purpose of
expressing an opinion on the effectiveness of the Company's internal control over financial reporting. Accordingly, we
express no such opinion. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures
in the financial statement, assessing the accounting principles used and significant estimates made by management, as
well as evaluating the overall financial statement presentation. We believe that our audit of the financial statement
provides a reasonable basis for our opinion.

The accompanying prescribed contractor's financial statement has been prepared for the purpose of complying
with, and in conformity with the instructions of the State of Connecticut Department of Transportation Contractor's
Prequalification Statement CON-16 and is not intended to be a presentation in conformity with generally accepted
accounting principles.

In our opinion, the prescribed contractor's financial statement referred to above presents fairly, in all material
respects, the assets, liabilities and stockholders equity of _____ as of
_____, in conformity with the instructions prescribed by the State of Connecticut Department of
Transportation.

Our audit was conducted for the purpose of forming an opinion on the basic contractor's financial statement
taken as a whole. The information included in the details schedules on page 9 of accompanying Contractor's
Prequalification Statement is presented for purposes of additional analysis and is not a required part of the basic
contractor's financial statement. Such information has been subjected to the auditing procedures applied in the audit of
the basic contractor's financial statement, and in our opinion, is fairly stated in all material respects in relation to the
basic contractor's financial statement taken as a whole. We express no opinion or any other assurance on any of the
other information included in the accompanying Contractor's Prequalification Statement.

This report is intended solely for the information and use of the State of Connecticut Department of
Transportation for contractor prequalification and is not intended to be and should not be used by anyone other than this
specified party.

Date

City/State

CPA Signature

CPA Printed Name

CPA Reg. No.

CPA Firm

THIS FORM CANNOT BE SUBSTITUTED

NOTE: Out of state C.P.A.'s must attach a copy of their latest license to this certification.

INDEPENDENT ACCOUNTANT'S REPORT

We have reviewed the accompanying information on pages seven (7) through nine (9) of the attached State of Connecticut Department of Transportation Contractor's Prequalification Statement CON-16 (REV. 11-07) for _____(firm name) as of _____(date). _____(firm name) management is responsible for the accompanying information.

Our review was conducted in accordance with attestation standards established by the American Institute of Certified Public Accountants. A review is substantially less in scope than an examination, the objective of which is the expression of an opinion on the accompanying information on pages seven (7) through nine (9) of the attached CON-16 . Accordingly, we do not express such an opinion.

Based on our review, nothing came to our attention that caused us to believe that the accompanying information on pages seven (7) through nine (9) of the attached CON-16 is not presented in conformity with the CON-16 application instructions.

The report is intended for use by State of Connecticut Department of Transportation for Contractor Prequalification and should not be used for any other purpose.

Date

City/State

CPA Signature

CPA Printed Name

CPA Reg. No.

CPA Firm

THIS FORM CANNOT BE SUBSTITUTED

NOTE: Out of state C.P.A.'s must attach a copy of their latest license to this certification.

CERTIFICATION OF CONTRACTOR'S PREQUALIFICATION STATEMENT

This Contractors Statement must be submitted in the name of a single firm.
It cannot be combined with other firms.

I do hereby certify and affirm that all of the statements contained in this application, including the declaration of ownership and organization, the Financial Statement and all supporting schedules and records of experience have been examined by me and to the best of my knowledge and belief are true and accurate. And I hereby authorize the banks, individuals, firms and corporations listed in this application and financial statement to provide to the Connecticut Department of Transportation any and all information requested in connection with this application.

SIGNED : _____

TITLE : _____

(Corporate Seal)
(if applicable)

Sworn to and subscribed before me by: _____

Who is personally known to me this _____ day of _____, _____
Year

Notary Public/ Justice of the Peace

(Notary seal)

My Commission Expires _____

THIS FORM CANNOT BE SUBSTITUTED

CONTRACTORS PREQUALIFICATION STATEMENT

CERTIFICATE OF AUTHORITY

I, _____, certify that I am
(the) (a) _____ of _____, a firm
organized under the laws of _____ (State), and do hereby certify that the following individuals or
any one of them possess the title(s) indicated with this firm,

Name _____ Title _____

Name _____ Title _____

Name _____ Title _____

and has (have) the authority and is (are) empowered to execute and deliver in the name and on behalf of this firm, this
firm's contracts, bonds and other documents required by the Connecticut Department of Transportation.

In witness whereof, the undersigned has affixed his/her signature this

_____ day of _____, _____
Year

Name (Title) (Corporate Seal)
(if applicable)

Sworn to and subscribed before me by : _____

who is personally known to me this _____, day of _____, _____
Year

Notary Public/Justice of the Peace

(Notary Seal)

My Commission Expires _____

THIS FORM CANNOT BE SUBSTITUTED

**CONNECTICUT DEPARTMENT OF TRANSPORTATION
 BID PROPOSAL REQUEST OR SUBMISSION
 (QUALIFICATION AFFIDAVIT)**

PART "C"
 REVISED 7/99

THIS AFFIDAVIT MUST BE SUBMITTED TO THE CONTRACT SECTION OF THE DEPARTMENT OF TRANSPORTATION FOR CONSIDERATION: (1) WITH ANY REQUEST FOR A BID PROPOSAL FORM AND (2) WITH ANY SUBMITTED BID PROPOSAL. EACH AFFIDAVIT MUST CONTAIN ORIGINAL SIGNATURES AND BE PROPERLY NOTARIZED.

NAME OF COMPANY OR CORPORATION: _____
 BID OPENING DATE: _____
 STATE PROJECT NUMBER(S): _____
 TOWN(S) / DESCRIPTION : _____

List all outstanding private and public work both bonded and not bonded as of this date. This must include all work in state, out of state and in any jurisdiction both in progress and not started. Include low bids for which awards are pending.

NOTE: Abbreviate where necessary and round off amounts to the nearest dollar.

| PROJECT NO. NAME & LOC. TOWN/STATE | PRIME (P) OR SUB (S) | PROJECT DESCRIPTION | *AMOUNT OF CONTRACT AWARDED TO YOU & DATE | AMOUNT OF WORK COMPLETED ON THE JOB | *AMOUNT OF WORK REMAINING BY APPLICANT | ESTIMATED DATE OF COMPLETION |
|--|-------------------------------|------------------------|--|--|--|------------------------------------|
| | | | | | | |
| TOTAL | | | \$ | \$ | \$ | |

* Make certain that you state the total value of all work under your contract (whether as a prime or a subcontractor), including work that you may engage a subcontractor to perform.

I do hereby certify and affirm that the information set forth on this form is true and accurate to the best of my knowledge.

 Signature and Title of Authorized Individual Corporate Seal
(If applicable)

Sworn to and subscribed before me by _____

Who is personally known to me, this _____ day of _____, _____ year

(Notary Seal)

 My commission expires _____
 Notary Public/Justice of the Peace

FAILURE TO REPORT ALL OUTSTANDING WORK MAY RESULT IN A NONRESPONSIVE BID. THIS FORM IS NOT TO BE ALTERED.