



S U R E T Y
B O N D B R O K E R S

CONTRACTOR'S SUBMISSION GUIDE

Please provide the following information:

1. Contractor's questionnaire
2. Bond request *(if a bond is needed at this time and/or a future bond)*
 - 🔗 Job Cost Breakdown (for bond requests over \$1,000,000)
3. Resume on all owners and key employees
4. Bank reference letter
5. Work on hand schedule *(Information should be current within 30 days)*
6. Personal financial statement on all owners and stockholders
7. Last three year-end company financial statements
 - 🔗 Interim financial statement, if year-end was more than 6 months ago.
8. Current certificate of insurance
9. Brochure and/or letters of recommendation about the accomplishments of your company (if available)

AUSTIN OFFICE

P.O. Box 28663 • Austin, TX 78755 • 512-900-8793

BATON ROUGE OFFICE

6709 Perkins Road • Baton Rouge, LA 70808 • 225-757-9191



CONTRACTOR'S QUESTIONNAIRE

Contractor: _____ Date: _____
Address: _____ Phone: _____
City: _____ State _____ Zip _____ Fax: _____
Website: _____ E-mail: _____

GENERAL INFORMATION

Form of Business (Check One): Proprietorship Partnership Corporation Sub-Chapter S LLC
Type of construction performed: _____
Fiscal Year End Date: _____
Geographic Territory: _____
States in which licensed to do business: _____

HISTORY

Date Business established: _____ Date Business incorporated: _____
Federal Tax ID # _____
Name of Predecessor Company: _____
When did current management assume control? _____

ORGANIZATION, OWNERS AND KEY EMPLOYEES

1) Full Name: _____ Soc. Sec. No: _____
Title: _____ % of Ownership: _____
Spouse: _____ Soc. Sec. No: _____
Title: _____ % of Ownership: _____
Home Address: _____ Home Phone: _____

2) Full Name: _____ Soc. Sec. No: _____
Title: _____ % of Ownership: _____
Spouse: _____ Soc. Sec. No: _____
Title: _____ % of Ownership: _____
Home Address: _____ Home Phone: _____



3) Full Name: _____ Soc. Sec. No: _____
 Title: _____ % of Ownership: _____
 Spouse: _____ Soc. Sec. No: _____
 Title: _____ % of Ownership: _____
 Home Address: _____ Home Phone: _____

Are the owners personally active in the business? Yes No *(If no, give details on a separate sheet)*
 Have any of the principals ever declared bankruptcy? Yes No *(If yes, give details on a separate sheet)*

PARENT, AFFILIATE AND/OR SUBSIDIARY COMPANIES

<u>Name</u>	<u>Location</u>	<u>Owned By</u>	<u>Scope of Operations</u>

Has any entity in which the contractor stockholders or related companies had financial interest engaged in any form of real estate investment, development or building of any other related activities? Yes No
 If yes, describe: _____

In addition to contracting, what other business activities are you engaged in or do you engage in?

CONTINUITY – JOB COMPLETION

Is there a formal Buy-Sell Agreement in effect? Yes No *(If yes, attach a copy)*
 How is the Buy-Sell Agreement funded? _____
 Who are the parties to the Buy-Sell Agreement? _____

AMOUNT OF LIFE INSURANCE PAYABLE TO THE CORPORATION

<u>Insured</u>	<u>Insurance Company</u>	<u>Amount</u>	<u>Amount Borrowed</u>	<u>Beneficiary</u>

What arrangements have been made to assure contracts are completed in the event key personnel are not available? _____

Are there any incentives given to the key employees to follow through (bonuses, profit sharing, etc.)?



REFERENCES

List 5 owners/architects/engineers with who you have worked with in the last two years.

<u>Name/Address</u>	<u>Contact</u>	<u>Phone #</u>	<u>Fax #</u>
1. _____	_____	_____	_____
2. _____	_____	_____	_____
3. _____	_____	_____	_____
4. _____	_____	_____	_____
5. _____	_____	_____	_____

List 5 subcontractors/general contractors with who you have worked with in the last two years.

<u>Name/Address</u>	<u>Contact</u>	<u>Phone #</u>	<u>Fax #</u>
1. _____	_____	_____	_____
2. _____	_____	_____	_____
3. _____	_____	_____	_____
4. _____	_____	_____	_____
5. _____	_____	_____	_____

List 5 suppliers with whom you buy most of your material.

<u>Name/Address</u>	<u>Contact</u>	<u>Phone #</u>	<u>Fax #</u>
1. _____	_____	_____	_____
2. _____	_____	_____	_____
3. _____	_____	_____	_____
4. _____	_____	_____	_____
5. _____	_____	_____	_____

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SUITS, JUDGMENTS, DEFAULTS AND CONTINGENT LIABILITIES

Has your company or any officer of any partner ever failed in business or compromised with creditors? Yes No
 Has your company ever failed to complete a contract? Yes No
 Have you ever failed to qualify for a bond after an award? Yes No
 Does your company or any officer or partner owe money to a bonding company? Yes No
 Do you have the necessary equipment to perform the anticipated job/program? Yes No
 Are you or have you been involved in any law suits, divorce actions, or any other form of Litigation? Yes No

ACCOUNTING AND FINANCIAL REPORTING

Name/Address of Accounting Firm: _____

CPA Public Accountant Other: _____ Fiscal Year End Date: _____

Is your accountant an officer, partner or a relative of an office or partner of the construction company? Yes No

How many years has this firm prepared your financial statements? _____ Tax Returns? _____

Fiscal year end statement is prepared: Audited Review Other: _____

Method of Accounting (check one for each line):

% of Completion Completed Contract Accrual Cash

For financing reporting:

For tax purposes:

Have your operations been profitable since the last year end statements? Yes No

Are taxes (including Payroll, FIT, and SIT) current? Yes No Date of Last Tax Audit? _____

Have there been any major changing in the last 12 months with respect to:

Ownership Loans or Refinancing Equipment Other *If so, please describe below:*

Do you have a system of providing periodic internal cost accounting reports showing job status?

Daily Weekly Monthly Quarterly Other (Please describe)

JOB EXPERIENCE

Largest Single Job Completed: \$ _____ Date: _____

Average Single Job Desired: \$ _____

Average Aggregate Bonding Desired: \$ _____

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Please list the 3 largest contracts completed in the last 3 years:

1. Job Description: _____
 Your Contract With: (Owner or GC)
 Name of Person to Contact: _____ Phone: _____ Fax: _____
 Contract Price: \$ _____ Amount of Profit or Loss: \$ _____
 Date Completed: _____

2. Job Description: _____
 Your Contract With: (Owner or GC)
 Name of Person to Contact: _____ Phone: _____ Fax: _____
 Contract Price: \$ _____ Amount of Profit or Loss: \$ _____
 Date Completed: _____

3. Job Description: _____
 Your Contract With: (Owner or GC)
 Name of Person to Contact: _____ Phone: _____ Fax: _____
 Contract Price: \$ _____ Amount of Profit or Loss: \$ _____
 Date Completed: _____

PRIOR SURETIES

Has your company ever been bonded? Yes No
 Name/Address of former Surety Company: _____

Have you been refused by a prior surety? Yes No *If yes, please explain:* _____

The Undersigned hereby authorizes the Surety and Surety Bond Brokers to make such pertinent inquiry as may be necessary from financial institutions, credit reporting companies or agencies and all other persons, firms and corporations in order to confirm or verify information referred to or listed herein.

Signed: _____ **Date:** _____



BOND REQUEST FORM

DIRECTIONS: FILL IN ALL INFORMATION. Please email or fax us the bond request form and related papers.

Contractor: _____

Obligee: _____

(Project Owner) _____

Address: _____

Address: _____

Phone # _____

Phone # _____

CONTRACT DETAILS:

Project Name: _____

Project Description: _____

(Include project location/parish or county) _____

Completion	Time:	% of Performance Bond: _____
Liquidated	Damages/Day:	% of Payment Bond: _____
Maintenance Period: _____		% Being Subcontracted: _____

COMPLETE EITHER BID BOND OR PERFORMANCE/PAYMENT BOND SECTION BELOW

BID BOND

Bid Date: _____ Bid Time: _____
 Estimated Amount: \$ _____
 % of Bid Bond:
 Engineer's Estimate: \$ _____
 Specific Form: Yes No

❖ *Attach key pages from Bid Invitation: front, description of work, bonding requirements and any **MANDATORY BID BOND FORMS.***

PERFORMANCE/PAYMENT BOND

Contract Date: _____
 Contract Price: \$ _____
 Awarded by: Bid or Negotiation (Please circle)
 No. of Originals Needed: _____
 Specific Form: Yes No

❖ **PLEASE FURNISH A COPY OF THE CONTRACT**

Bid Results

2nd Bidder: \$ _____

3rd Bidder: \$ _____

Bid Spread: % _____

**If bid spread is more than 10% please provide a letter of explanation as to the difference in bid amounts.*

Delivery Instructions: (Please check be how you would like to receive your bond, if using FedEx please provide Account #)

Call when ready phone # _____

Pick Up: _____ Regular Mail: _____ FedEx: _____ FedEx Account # _____

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RESUME OF EXPERIENCE

DATE: _____

RESUME OF EXPERIENCE FOR _____
(NAME OF OWNER OR KEY EMPLOYEE)

WHO IS _____ OF THE FIRM _____
(POSITION) (NAME OF COMPANY)

1. PERSONAL INFORMATION:

A. DATE OF BIRTH _____ B. SOCIAL SECURITY # _____

C. ADDRESS _____

D. PHONE NUMBER: _____

2. EDUCATION:

HIGH SCHOOL _____
COLLEGE TRADE _____
SCHOOL _____

3. EXPERIENCE WITH COMPANY:

A. STARTING DATE _____ B. STARTING POSITION: _____

C. PRESENT POSITION AND RESPONSIBILITIES: _____

D. PERCENTAGE OF OWNERSHIP (IF APPLICABLE) _____%

4. PAST EXPERIENCE IN FIELD:

NAME, ADDRESS & DATES OF PRIOR EMPLOYMENT AND RESPONSIBILITIES:

1. _____

2. _____

3. _____

5. PERSONAL REFERENCES (INCLUDE NAME, ADDRESS, PHONE #, LENGTH OF TIME ACQUAINTED AND RELATIONSHIP)



BANK REFERENCE LETTER

Please take this form to your banker and request that he write, on the bank's letterhead, a letter addressed to:

SURETY BOND BROKERS, INC.

Our business is to establish and place bonds for our clients. One of the requirements of bonding is for us to obtain a reference letter from our client's bank.

This letter should incorporate answers to the questions below:

1. Date account was opened.
2. Average checking balance for the past twelve (12) months, and present checking and Savings balance.
3. We need to know the dollar figure of the Line of Credit available and the dollar figure of the present account in use. We also need to know the expiration date of the line, if the line is secured, security taken, or if unsecured.

It is important that your letter show dollar figures of the line of credit and of the present amount in use. The terminology of low, high or medium is not acceptable. Working capital is an important part of bonding, and a line is considered part of the working capital; therefore, it is important we know dollar figures. If we do not have this information, we cannot place an account for bonding.

4. Amounts and terms of existing loans.
5. General recommendations as to character, business qualifications, etc

Name of Bank _____

Officer _____

Title _____

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PERSONAL FINANCIAL STATEMENT

Name: _____

Spouse's Name: _____

SSN: _____

Spouse's SSN: _____

Address: _____

City: _____ State _____ Zip _____

Statement Date as of _____, 20_____

Assets	Amount	Current Liabilities	Amount
Cash on hand and in Banks		Notes Payable to Banks - Secured	
U.S. Gov't Securities – see schedule		Notes Payable to Banks	
Listed Securities – see schedule		Unsecured Notes Payable to Relatives	
Unlisted Securities – see schedule		Notes Payable to Others	
Accounts Receivable – Relatives – see schedule		Accounts Payable	
Notes Receivable – Relatives – see schedule		Unpaid Income Tax	
Real Estate Owned – Residence		Other Unpaid Taxes	
Real Estate Owned – Other		Real Estate Mortgages Payable – Residence	
Real Estate Mortgages Receivable		Real Estate Mortgages Payable – Other	
Automobiles and Other Personal Property		Other Debts – List	
Cash Value Life Insurance			
Other Assets – List			
		Liabilities – Long Term	
		Real Estate Mortgage Payable – Residence	
		Real Estate Mortgages Payable - Other	
		Other Long Term Debt - List	
		TOTAL LIABILITIES	
		Total Assets – Total Liabilities = NET WORTH	
TOTAL ASSETS		TOTAL LIABILITIES + NET WORTH	

Sources of Income	Amount	Personal Information	
Salary		Business Occupation	
Bonuses and Commissions			
Dividends			
Real Estate Income		Spouse Occupation	
Other Income - List		Dependents	
		Partner or Officer in any Other Business - List	
INCOME TOTAL		Do you have a will?	

Contingent Liabilities		General Information	
As Endorser Co-Maker, or Guarantor		Are any assets pledged?	
On Leases or Contracts		Are you a defendant in any suits or legal actions?	
Legal Claims		Have you ever declared bankruptcy?	
Provisions for Federal Income Taxes		if so, when?	

SCHEDULE OF U.S. GOVERNMENT SECURITIES, STOCKS AND BONDS OWNED

Number of Shares	Description	In Name Of	Value Cost	Market Value

SCHEDULE OF PARTIAL INTERESTS IN REAL ESTATE EQUITIES

Address & Type Of Property	Title In Name Of	% Of Ownership	Date Acquired	Cost	Market Value	Mortgage Maturity	Mortgage Amount

SCHEDULE OF REAL ESTATE OWNED

Address & Type Of Property	Title In Name Of	Date Acquired	Cost	Market Value	Mortgage Maturity	Mortgage Amount

SCHEDULE OF LIFE INSURANCE CARRIED

Name of Insurance Company	Owner Of Policy	Beneficiary	Face Amount	Policy Loans	Cash Surrender Value

SCHEDULE OF ACCOUNTS RECEIVABLE

From Whom Due (Name)	Amount	When Due	Secured?	Description of Security

SCHEDULE OF NOTES RECEIVABLE

From Whom Due (Name)	Amount	Date of Maturity	Secured?	Description of Security

SCHEDULE OF NOTES PAYABLE

From Whom Due (Name)	Amount	Date of Maturity	Secured?	Description of Security

Signature: _____ Name (Printed): _____ Date: _____

Signature: _____ Name (Printed): _____ Date: _____