

PART III

**Expansion Area 2A Wastewater System Improvements
Contract 2 – Force Main
LFUCG Bid No. 155-2012**

1. FORM OF PROPOSAL

Place: Lexington, Kentucky

Date: 11-15-12

The following Form of Proposal shall be followed exactly in submitting a proposal for this Work.

This Proposal Submitted by Smith Contractors, Inc.
P.O. Box 480, 1241 Bypass North, Lawrenceburg, KY 40342
(Name and Address of Bidding Contractor)

(Hereinafter called "Bidder"), organized and existing under the laws of the State of Kentucky, doing business as a corporation
"a corporation," "a partnership", or an "individual" as applicable

To: Lexington-Fayette Urban County Government
(Hereinafter called "OWNER")
Office of the Director of Purchasing
200 East Main Street, 3rd Floor
Lexington, KY 40507

Gentlemen:

The Bidder, in compliance with your Invitation for Bids for **Expansion Area 2A Wastewater System Improvements, Contract 2 – Force Main**, having examined the Plans and Specifications with related documents, having examined the site for proposed Work, and being familiar with all of the conditions surrounding the construction of the proposed Project, including the availability of materials and labor, hereby proposes to furnish all labor, materials, and supplies, and to construct the Project in accordance with the Contract Documents, within the time set forth therein, and at the lump sum and/or unit prices stated hereinafter. These prices are to cover all expenses incurred in performing the Work required under the Contract Documents, of which this proposal is a part.

Add. No. 1
11-5-12

The Bidder hereby agrees to commence Work under this Contract on a date to be specified in a written "Notice to Proceed" of the OWNER and to complete the Project within **Two Hundred** ~~Seventy (270)~~ **consecutive calendar days**. Bidder further agrees to pay liquidated damages, the sum of \$600.00 for each consecutive calendar day thereafter.

The Bidder hereby acknowledges receipt of the following addenda:

Addendum No. 1 Date 11-5-12; Addendum No. _____ Date _____

Addendum No. 2 Date 11-12-12; Addendum No. _____ Date _____

Addendum No. 3 Date 11-12-12; Addendum No. _____ Date _____

Addendum No. _____ Date _____; Addendum No. _____ Date _____

Insert above the number and the date of any Addendum issued and received. If none has been issued and received, the word "NONE" should be inserted.

7. SPECIFICATIONS

SECTION 02531, SEWAGE FORCE MAINS

A minimum of 48" of cover is required for the force mains. Refer to the drawing profile for all depths. Change the following in paragraph 3.01H, from, "Minimum cover of 36" shall be provided for all pipelines", to, "Minimum cover of 48" shall be provided for all pipelines.

Todd Slatin 

Todd Slatin, Acting, Director
Division of Central Purchasing

All other terms and conditions of the Bid and specifications are unchanged. This letter should be signed, attached to and become a part of your Bid.

COMPANY NAME: SMITH CONTRACTORS, INC.

ADDRESS: PO Box 480, 1241 BYPASS NORTH, LAWRENCEBURG, KY 40342

SIGNATURE OF BIDDER: *Denny Smith*

1

All other terms and conditions of the Bid and specifications are unchanged. This letter should be signed, attached to and become a part of your Bid.

COMPANY NAME: SMITH CONTRACTORS, INC.

ADDRESS: P.O. Box 480, 1241, BYPASS NORTH, LAWRENCEBURG, KY 40342

SIGNATURE OF BIDDER: *Devin Smith*

- E. Restraint devices for mechanical joint fittings and appurtenances shall conform to either AWWA C111, or AWWA C153. The working pressure for the restraint shall equal that of the pipe on which it is used. The devices shall be Series 1100 Megalug, as manufactured by EBAA Iron or approved equal.
- F. All interior surfaces of fittings that are used to connect the Air Release Valves shall receive a 40 mil ceramic epoxy lining (Protecto 401 or equal) for corrosion protection.
- G. Polyethylene encasement shall be provided for all pipe bell harness restraints. Polyethylene encasement shall be furnished and installed in accordance with the requirements of ANSI/AWWA C105/A21.5.
- H. Provide AWWA C110 mechanical joint plugs and locked or restrained pipe joints where indicated on Drawings.
- I. The cleaning and assembly of pipe and fitting joints shall be in accordance with the manufacturer's recommendations.

Todd Slatin (Signature)

Todd Slatin, Acting, Director
Division of Central Purchasing

All other terms and conditions of the Bid and specifications are unchanged. This letter should be signed, attached to and become a part of your Bid.

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COMPANY NAME: SMITH CONTRACTORS, INC.

ADDRESS: PO BOX 480, 1241 BYPASS NORTH, LAWRENCEBURG, KY 40342

SIGNATURE OF BIDDER: *Alan Smith*

2. LEGAL STATUS OF BIDDER

Bidder Smith Contractors, Inc.

Date 11-15-12

* 1. A corporation duly organized and doing business under the laws of the State of Kentucky, for whom Kerry Smith, bearing the official title of President, whose signature is affixed to this Proposal, is duly authorized to execute contracts.

~~* 2. A Partnership, all of the members of which, with addresses are: (Designate general partners as such)~~

~~_____~~
~~_____~~
~~_____~~
~~_____~~
~~_____~~

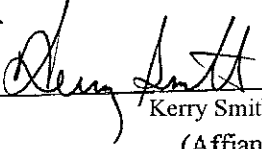
~~* 3. An individual, whose signature is affixed to this Proposal.~~

*(The Bidder shall fill out the appropriate form and strike out the other two.)

3. **BIDDERS AFFIDAVIT**

Comes the Affiant, Kerry Smith, and after being first duly sworn, states under penalty of perjury as follows:

1. His/her name is Kerry Smith and he/she is the individual submitting the bid or is the authorized representative of Smith Contractors, Inc., the entity submitting the bid (hereinafter referred to as "Bidder").
2. Bidder will pay all taxes and fees, which are owed to the Lexington-Fayette Urban County Government at the time the bid is submitted, prior to award of the contract and will maintain a "current" status in regard to those taxes and fees during the life of the contract.
3. Bidder will obtain a Lexington-Fayette Urban County Government business license, if applicable, prior to award of the contract.
4. Bidder has authorized the Division of Central Purchasing to verify the above-mentioned information with the Division of Revenue and to disclose to the Urban County Council that taxes and/or fees are delinquent or that a business license has not been obtained.
5. Bidder has not knowingly violated any provision of the campaign finance laws of the Commonwealth of Kentucky within the past five (5) years and the award of a contract to the Bidder will not violate any provision of the campaign finance laws of the Commonwealth.
6. Bidder has not knowingly violated any provision of Chapter 25 of the Lexington-Fayette Urban County Government Code of Ordinances, known as the "Ethics Act."
7. Bidder acknowledges that "knowingly" for purposes of this Affidavit means, with respect to conduct or to circumstances described by a statute or ordinance defining an offense, that a person is aware or should have been aware that his conduct is of that nature or that the circumstance exists.
Further, Affiant sayeth naught.



Kerry Smith
(Affiant)

STATE OF Kentucky

COUNTY OF Anderson

The foregoing instrument was subscribed, sworn to and acknowledged before me by

Kerry Smith on this the 15th day of November
 , 2012 .

My Commission expires: 12-03-14

Billy Halley
NOTARY PUBLIC, STATE AT LARGE

4. BID SCHEDULE – SCHEDULE OF VALUES

The Bidder agrees to perform all the Work described in the Specifications and shown on the Plans for the following lump sum and/or unit prices, if applicable, which shall include the furnishing of all labor, materials, supplies, equipment and/or vehicle usage, services, all items of cost, overhead, taxes (federal, state, local), and profit for the Contractor and any Subcontractor involved, within the time set forth herein. If unit prices are applicable, Bidder must make the extensions and additions showing the total amount of bid.

The contract, if awarded, will be on the basis of materials and equipment specified in the specifications without consideration of possible substitute or "or equal" items.

Notes: 1. Bids shall include sales tax, where required, and all other applicable taxes and fees.

2. All specific cash allowances are included in the price(s) set forth and have been computed in accordance with Paragraph 10.8 of the General Conditions and specification Section 01210 Allowances.

3. The following allowances shall be included in the Contractor's Bid:

a. Landscaping lump sum allowance – Add \$30,000.

Two alternate bids have been provided for consideration by the Contractor. Bid Alternate No. 1 allows blasting of trench rock on the project. The Contractor will utilize his discretion, within the limits of the law and Contract Specifications, concerning the utilization of blasting methods. Bid Alternate No. 2 requires mechanical excavation of all trench rock. (No Blasting is allowed.). At the time of Contract award, the Owner shall have the option to select the best bid in their best interest, either alternate no. 1 or alternate no. 2.

Bid Alternate No. 1
 Partial Blasting Allowed for Trench Rock Removal

Item No.	Quantity	Unit To Bid On	Description w/Unit Bid Price Written In Words	Unit Price	Total Amount Bid
1	4,010	LF	24" Force Main ONE HUNDRED SIXTY-FIVE ZERO Dollars Cents Per Linear Foot	\$ 165. ⁰⁰	\$ 661,650. ⁰⁰
2	300	LF	24" Force Main, Restrained Joints/ Pipe TWO HUNDRED TWENTY-FIVE ZERO Dollars Cents Per Linear Foot	\$ 225. ⁰⁰	\$ 67,500. ⁰⁰
3	1	LS	24" Force Main, Restrained Joint in a 36" Steel Cover Pipe Bored & Jacked Under I-75 (Sta. 14+50 - Sht. 2) - 275 L.F. ONE HUNDRED FORTY-EIGHT ZERO THOUSAND Dollars Cents Per Lump Sum	\$ 148,000. ⁰⁰	\$ 148,000. ⁰⁰
4	1	LS	24" Force Main, Restrained Joint in a 36" Steel Cover Pipe-Bored and Jacked Under Hume Road (Sta. 46+30 - Sht. 5) - 50 LF TWENTY SIX THOUSAND ZERO Dollars Cents Per Lump Sum	\$ 26,000. ⁰⁰	\$ 26,000. ⁰⁰
5	1	LS	24" Force Main, Restrained Joint in a 36" Steel Cover Pipe-Bored and Jacked Under Private Driveway (Sta. 55+25 - 110 LF) FIFTY SEVEN THOUSAND ZERO Dollars Cents Per Lump Sum	\$ 57,000. ⁰⁰	\$ 57,000. ⁰⁰
6	20	Ton	Ductile Iron Fittings -- Restrained Joint TWO THOUSAND EIGHT HUNDRED ZERO Dollars Cents Per Ton	\$ 2,800. ⁰⁰	\$ 56,000. ⁰⁰

Item No.	Quantity	Unit To Bid On	Description w/Unit Bid Price Written In Words	Unit Price	Total Amount Bid
7	5	EA	Sewage Air and Vacuum Valve and Vault. ELEVEN THOUSAND Dollars ZERO Cents Per Each	\$ 11,000. ⁰⁰	\$ 55,000. ⁰⁰
8	1	LS	Connect 24" Force Main to Existing Influent Structure at the North Elkhorn Pump Station TEN THOUSAND Dollars ZERO Cents Per Lump Sum	\$ 10,000. ⁰⁰	\$ 10,000. ⁰⁰
9	100	Ton	Crushed Stone for Special Granular Fill THIRTY Dollars ZERO Cents Per Ton	\$ 30. ⁰⁰	\$ 3,000. ⁰⁰
10	40	CY	Concrete for Cradles, Anchors, and Encasement ONE HUNDRED FIFTY Dollars ZERO Cents Per Cubic Yard	\$ 150. ⁰⁰	\$ 6,000. ⁰⁰
11	\$30,000.	LFUCG Approved Dollars	Landscaping Allowance THIRTY THOUSAND Dollars ZERO Cents Per LFUCG Approved Dollars	\$ 30,000.	\$ 30,000.
12	130	LF	Pavement Replacement FORTY Dollars ZERO Cents Per Linear Foot of Pavement Replacement	\$ 40. ⁰⁰	\$ 5,200. ⁰⁰

Bid Alternate No. 1, Partial Blasting Allowed for Trench Rock Removal (Items 1 through 7)

Total Amount Bid Alternate No. 1

\$ 1,125,350.00

Bid Alternate No. 2

Mechanical Trench Rock Removal Only, No Blasting Allowed

Item No.	Quantity	Unit To Bid On	Description w/Unit Bid Price Written In Words	Unit Price	Total Amount Bid
1	4,010	LF	24" Force Main ONE HUNDRED SEVENTY Dollars ZERO Cents Per Linear Foot	\$ 170. ⁰⁰	\$ 681,700. ⁰⁰
2	300	LF	24" Force Main, Restrained Joints/ Pipe TWO HUNDRED THIRTY Dollars ZERO Cents Per Linear Foot	\$ 230. ⁰⁰	\$ 69,000. ⁰⁰
3	1	LS	24" Force Main, Restrained Joint in a 36" Steel Cover Pipe Bored & Jacked Under I-75 (Sta. 14+50 - Sht. 2) - 275 L.F. ONE HUNDRED FORTY-EIGHT Dollars ZERO Cents Per Lump Sum	\$ 148,000. ⁰⁰	\$ 148,000. ⁰⁰
4	1	LS	24" Force Main, Restrained Joint in a 36" Steel Cover Pipe-Bored and Jacked Under Hume Road (Sta. 46+30 - Sht. 5) - 50 LF TWENTY-SIX THOUSAND Dollars ZERO Cents Per Lump Sum	\$ 26,000. ⁰⁰	\$ 26,000. ⁰⁰
5	1	LS	24" Force Main, Restrained Joint in a 36" Steel Cover Pipe-Bored and Jacked Under Private Driveway (Sta. 55+25 - 110 LF) FIFTY-SEVEN THOUSAND Dollars ZERO Cents Per Lump Sum	\$ 57,000. ⁰⁰	\$ 57,000. ⁰⁰
6	20	Ton	Ductile Iron Fittings - Restrained Joint TWO THOUSAND EIGHT HUNDRED Dollars ZERO Cents Per Ton	\$ 2,800. ⁰⁰	\$ 56,000. ⁰⁰

Item No.	Quantity	Unit To Bid On	Description w/Unit Bid Price Written In Words	Unit Price	Total Amount Bid
7	5	EA	Sewage Air and Vacuum Valve and Vault. ELEVEN THOUSAND Dollars ZERO Cents Per Each	\$ 11,000. ⁰⁰	\$ 55,000. ⁰⁰
8	1	LS	Connect 24" Force Main to Existing Influent Structure at the North Elkhorn Pump Station TEN THOUSAND Dollars ZERO Cents Per Lump Sum	\$ 10,000. ⁰⁰	\$ 10,000. ⁰⁰
9	100	Ton	Crushed Stone for Special Granular Fill THIRTY Dollars ZERO Cents Per Ton	\$ 30. ⁰⁰	\$ 3,000. ⁰⁰
10	40	CY	Concrete for Cradles, Anchors, and Encasement ONE HUNDRED FIFTY Dollars ZERO Cents Per Cubic Yard	\$ 150. ⁰⁰	\$ 6,000. ⁰⁰
11	\$30,000.	LFUCG Approved Dollars	Landscaping Allowance THIRTY THOUSAND Dollars ZERO Cents Per LFUCG Approved Dollars	\$ 30,000.	\$ 30,000.
12	130	LF	Pavement Replacement FORTY Dollars ZERO Cents Per Linear Foot of Pavement Replacement	\$ 40. ⁰⁰	\$ 5,200. ⁰⁰

Bid Alternate No. 2, Mechanical Trench Rock Removal Only, No Blasting Allowed, (Items 1 - 12)

Total Amount Bid Alternate No. 2


\$ 1,146,900.00

Respectfully Submitted,

BY: Smith Contractors, Inc.

(NAME OF FIRM)

DATE: 11-15-12

BY: 

Kerry Smith

TITLE: President

OFFICIAL ADDRESS:

Smith Contractors, Inc.

P.O. Box 480

1241 Bypass North

Lawrenceburg, KY 40342 (Seal if Bid is by Corporation)

5. STATEMENT OF BIDDER'S QUALIFICATIONS

The following statement of the Bidder's qualifications is required to be filled in, executed, and submitted with the Proposal:

1. Name of Bidder: Smith Contractors, Inc.
2. Permanent Place of Business: 1241 Bypass North, Lawrenceburg, KY 40342
3. When Organized: 1982
4. Where Incorporated: Kentucky
5. Construction Plant and Equipment Available for this Project:
See attached


(Attach Separate Sheet If Necessary)

6. Financial Condition:

If specifically requested by the OWNER, the apparent low Bidder is required to submit its latest three (3) years audited financial statements to the OWNER'S Division of Central Purchasing within seven (7) calendar days following the bid opening.

7. In the event the Contract is awarded to the undersigned, surety bonds will be furnished by:

LIBERTY MUTUAL INSURANCE CO (Surety)

Signed:  DAVID P. O'BRYAN
ATTORNEY-IN-FACT (Representative of Surety)

8. The following is a list of similar projects performed by the Bidder: (Attach separate sheet if necessary).

<u>NAME</u>	<u>LOCATION</u>	<u>CONTRACT SUM</u>
See attached		

9. The Bidder has now under contract and bonded the following projects:

<u>NAME</u>	<u>LOCATION</u>	<u>CONTRACT SUM</u>
See attached		

10. List Key Bidder Personnel who will work on this Project.

<u>NAME</u>	<u>POSITION DESCRIPTION</u>	<u>NO. OF YEARS WITH BIDDER</u>
Kerry Smith	President	30
Joe Smith	Vice President	13

SMITH CONTRACTORS, INC. EQUIPMENT LISTING

TYPE
BACKHOES, DOZERS, LOADERS & EXCAVATORS:
Felco Bedding Conveyor
IT 18B Cat Loader
Cat 375 H 60" Sev Bucket
Cat 375 42" Sev Bucket
Cat 963 Track Loader
42" Bucket for 330 Excavator
590 Case SL Loader/Backhoe
Cat IT28G Int. Tool Carrier
Cat 320 Excavator & E210 Hammer
Case 590 SL Loader/Backhoe
Con-Tech Forks w/Rod
36" Cepco Bucket (312 Excav)
New Werk-Brau 48" Bucket
Case 590 SL Loader/Backhoe
Caterpillar 320 B 42" Bucket
2000 Case 650H Crawler Dozer
Caterpillar 320C 24" Bucket
Caterpillar 325 24" Bucket
Caterpillar 325 36" Bucket
CTI Forks
CTI 6000# Drive-In Forks w/Bar
Cat 312CL Excavator
Rammer E68 Hydraulic Hammer
312 CL 24" Bucket
RCW-15344 - 36" Bucket

SMITH CONTRACTORS, INC. EQUIPMENT LISTING

TYPE
BACKHOES, DOZERS, LOADERS & EXCAVATORS:
36" 312C Bucket
Caterpillar 320-HC Hydraulic Excavator
Bobcat Compact Track Loader T190
Case 590SM Loader Backhoe - 2003
Caterpillar 330DL Excavator
Yanmar VIO 35 Mini Excavator VIO35
1997 Cat D6M XL Crawler Tractor
24" Compaction Wheel for a Cat 320
Caterpillar 330DL Excavator
Case 580M Loader Backhoe w/ 24" Bucket
Caterpillar 312C 30" Bucket
963D Caterpillar Track Loader
Caterpillar 324DL Long Reach Excavator
Case 580L Backhoe
Caterpillar 385 Excavator w/Bucket
2005 Caterpillar 963C Crawler Loader
2002 Cat D8R Series II Crawler Tractor
T25OK Bobcat Loader
Case 590 Super Series II Backhoe
Caterpillar 336EL Hydraulic Excavator
Caterpillar 320DL Excavator
2010 Caterpillar 320DL Hydraulic Excavator
2009 Caterpillar Medium Hydraulic Excavator Model 321 DLCR
CRANES:
Terex RT175 Crane
1990 Link Belt LS-138H Crane
1981 Link Belt 100 Ton Crawler Crane LS-338
Link Belt 50 Ton Hydraulic Rough Terrain Crane
Terex TC4792 23.5 Ton Hydraulic Crane behind cab on 1999 Mack Flatbed Truck
Link-Belt LS 138H 75 Ton Crawler Crane
1999 Link Belt RTC8040 II 40 Ton 4x4x4 Rough Terrain Crane

SMITH CONTRACTORS, INC. EQUIPMENT LISTING

TYPE
DRILLS & AIR COMPRESSORS:
Jaegen Rock Drill
Sullair Compressor
Champion Air Compressor
I-R 250 CFM Compressor
Model 155 Drill
Model 155 Drill
Allied 730 Hy Ram
I-R 175 CFM Compressor
Rock Drill
Sullair Compressor/Breaker
1" Rock Drill
I-R P185 Compressor
Sullair Rock Drill
Air Compressor
I-R Air Compressor
Furukawa Hydraulic Drill
2004 Ingersoll-Rand PI85WJD Portable Air Compressor
TRENCHERS:
4010 Ditch Witch
OTHER:
Genie Scissor Man Lift
Pettibone 636 Telescopic Material Handler
1994 Caterpillar D400D Articulated Dump
Grove AMZ50 Manlift
Bobcat Landscape Rake, 6B
1999 JCB 560C Telescopic Forklift

SMITH CONTRACTORS, INC. EQUIPMENT LISTING

<i>TYPE</i>
Finn B40 Straw Blower
John Deere 7220 Tractor & John Deere 726 Loader
Kubota RTV 900
Kubota 26 HP 60" Commercial Mower
MX19 Upright Scissor Lift
Ice 216 Vibro Pile Hammer
72" Bobcat Seeder
Godwin Heidra 150 Power Pack Hydraulic Pump & 6" Pump End
GEHL 1083 Telescopic Forklift
2005 Ingersoll-Rand SD45DTF Vibratory Smooth Drum Roller
2004 Lincoln Classic 300D Portable Welder
Tamp Vibrator Plate
40' Rough Terrain Scissor
1998 Gradall Forklift, Model 534D-42
Genie 19' Scissor Lift
Cat D400 6x6 40 ton Dump Truck
Note: This list is for insurance purposes, it is not all inclusive.

**SMITH CONTRACTORS, INC.
PREVIOUS WWTP PROJECTS**

Schedule A

<i>Project Name, Location & Description</i>	<i>Owner</i>	<i>Design Engineer</i>	<i>Date Completed</i>	<i>Contract Price</i>	<i>Reference - Phone & Address</i>
<i>Auxiliary Raw Water Intake</i> Murfreesboro, Tennessee	Murfreesboro Water & Sewer District	Smith Seckman Reid	June, 2001	\$ 3,713,198.11	Frank Smith, P.E. 3319 West End Drive, Suite 700, Nashville, TN 37203 615-383-1113
<i>Nine Mile WWTP Expansion</i> Clermont County, Ohio	Clermont County Sewer District	Earth Tech	June, 2002	\$ 5,359,426.27	Eric Van Orman, P.E. P.O. Box 874, Grand Rapids, MI 49588 616-940-4448
<i>WWTP Improvements</i> Charlestown, Indiana	City of Charlestown	Saegesser Engineers, Inc.	November, 2002	\$ 4,029,807.70	Bill Saegesser, P.E. 88 West McClain Avenue, Scottsburg, IN 47170 812-752-8123
<i>WWTP Expansion</i> Columbia, Kentucky	City of Columbia	Monarch Engineering	July, 2003	\$ 3,854,819.73	David Bowles, P.E. 556 Carlton Drive, Lawrenceburg, KY 40342 502-839-1310
<i>Wastewater Treatment Plant Improvement</i> Morehead, Kentucky	Morehead Utility Plant Board	Tetra Tech, Inc.	November, 2005	\$ 9,613,212.60	Herb Lemaster, P.E. 800 Corporate Drive, Lexington, KY 40503 859-223-8000
<i>Wastewater Treatment Plant Upgrade</i> Lawrenceburg, Kentucky	City of Lawrenceburg	GRW Engineers, Inc.	August, 2006	\$ 7,430,813.27	John Martin, P.E. 801 Corporate Drive, Lawrenceburg, KY 40342 859-223-3999
<i>Shayler Run Segment "C"</i> Clermont County, Ohio	Clermont Co. Sewer District	Balke American	July, 2007	\$ 6,436,222.64	Lyle Bloom, P.E. 2379 Clermont Center Drive, Batavia, OH 45103 513-732-7943

SMITH CONTRACTORS, INC.

PREVIOUS WWTP PROJECTS

Schedule A

Project Name, Location & Description	Owner	Design Engineer	Date		Contract Price	Reference - Phone & Address
			Completed			
Contract 4 - Jessamine Creek Env. Facility Nicholasville, Kentucky	City of Nicholasville	Tetra Tech, Inc.	October, 2008		\$ 5,278,831.58	Morey Lampson, P.E. 800 Corporate Drive, Lexington, KY 40503 859-223-8000
Contract 1 - Whitesburg WWTP Whitesburg, Kentucky	City of Whitesburg	Summit Engineering	March, 2009		\$ 5,800,543.70	Kevin Howard, P.E. 120 Prosperous Place, Ste 101, Lexington, KY 40509 859-264-9860
Contract 536-07-01 Wastewater Treatment Facility Owingsville, Kentucky	City of Owingsville	Bell Engineers	September, 2009		\$ 3,551,695.83	Ronald Rogers, P.E. P.O. Box 546, Lexington, KY 40588 859-278-5412
Contract 207 - Wastewater Treatment Plant Expansion Gallatin, Tennessee	City of Gallatin	James C. Hailey Engineers	May, 2012		\$ 23,472,935.94	James Hailey, P.E. 7518 Hwy 70S, st. 100, Nashville, TN 37221 615-883-4933
WWTP Biosolids Facilities Gallatin, Tennessee	City of Gallatin	James C. Hailey Engineers			\$ 6,350,549.00	James Hailey, P.E. 7518 Hwy 70S, st. 100, Nashville, TN 37221 615-883-4933

Smith Contractors, Inc.

Previous Sanitary Sewer Projects

Schedule A

<i>Project Name</i>	<i>Engineer</i>	<i>Engineer Contact</i>	<i>Engineer's Phone #</i>	<i>Date Completed</i>	<i>Contract Amount</i>
Town Fork Interceptor - Contract 3	Tetra Tech, Inc.	Morey Lampson	859-223-8000	Jun-09	\$ 5,608,540.00
Alex Licking Force Main & Gravity Sewer	Tetra Tech, Inc.	Paul Trepaney	513-772-4660	Jul-08	\$ 3,059,353.58
Shaylor Run Segment "C"	Clermont Co. Sewer District	Lyle Bloom	513-732-8860	July-07	\$ 6,436,222.64
Sewage Transfer Pump Station	GRW Engineers	Alan Bryan	859-223-3999	Mar-07	\$ 1,915,351.12
Pump Station, Force Main & Int.	Quest Engineers	Rob Williams	859-223-3755	Sep-07	\$ 2,122,768.93
Bardstown Road Corridor Coll.	Metropolitan Sewer District	Steve Emly	502-540-6000	Jun-04	\$ 881,568.50
Fernhaven Road Assessment	Metropolitan Sewer District	Steve Emly	502-540-6000	Oct-03	\$ 1,233,441.72
Settler's Gap Sewer Remediation	Qk4	Toby Spalding	502-992-2985	Oct-03	\$ 3,371,346.13
Cane Run Interceptor	Metropolitan Sewer District	Steve Emly	502-540-6000	Jul-02	\$ 2,065,520.90
Kramers Lane Sanitary Sewer	Metropolitan Sewer District	Steve Emly	502-540-6000	Sep-01	\$ 2,064,018.50
Indian Hills West Sanitary Sewer	Metropolitan Sewer District	Steve Emly	502-540-6000	Jun-00	\$ 2,032,407.43

Smith Contractors, Inc.

Current Projects

Schedule B

<i>Project Name & Location</i>	<i>Owner</i>	<i>Engineer</i>	<i>Contract Amount</i>	<i>Percent Complete</i>	<i>Scheduled Completion</i>	<i>Reference Including Address & Phone #</i>
<i>Lower Howards Creek Infl PS & WWTP</i> Winchester, Kentucky	Winchester Municipal Utilities	Palmer Engineering	\$ 28,178,980.00	83%	790 days	Brian Ward, P.E. P.O. Box 747, Winchester, KY 40392 859-744-1218
<i>WTP Expansion & PS Upgrade</i> Grayson, Kentucky	Rattlesnake Ridge Water District	Sisler-Maggard Engineering	\$ 4,001,789.24	96%	365 days	Joe Sisler, P.E. P.O. Box 23279, Lexington, KY 40523 859-271-2978
<i>Raw Water Intake</i> Dover, Tennessee	North Stewart Utility District	James C. Hailey & Company	\$ 2,046,000.00	38%	480 days	Neal Westerman, P.E. 7518 Hwy 70S, Nashville, TN 37221 615-883-4933
<i>Water Treatment Plant</i> Dover, Tennessee	North Stewart Utility District	James C. Hailey & Company	\$ 3,826,000.00	47%	480 days	Neal Westerman, P.E. 7518 Hwy 70S, Nashville, TN 37221 615-883-4933
<i>Buechel Basin WW System</i> Louisville, Kentucky	Metropolitan Sewer District	Metropolitan Sewer District	\$ 2,489,827.25	51%	270 days	Jacob Brown, P.E. 700 West Liberty Street, Louisville, KY 40203 502-540-6000
<i>Red River WWTP</i> Stanton, Kentucky	Red River Wastewater Authority	Bell Engineering	\$ 9,093,000.00	16%	420 days	Ron Rogers, P.E. 2480 Fortune Dr., Ste 350, Lexington, KY 40509 859-278-5412
<i>Louisville Hill Road Stormwater Separation Project</i> Frankfort, Kentucky	City of Frankfort	Qk4 Engineering	\$ 1,246,519.00	41%	210 days	Kenny Kingsbury, P.E. 815 West Mkt Street, Ste 300, Lexington, KY 40202 502-585-2222
<i>WWTP Improvements</i> Monticello, Kentucky	City of Monticello	Bell Engineering	\$ 5,808,600.00	4%	365 days	Ron Rogers, P.E. 2480 Fortune Dr., Ste 350, Lexington, KY 40509 859-278-5412

Smith Contractors, Inc.

Current Projects

Schedule B

<i>Project Name & Location</i>	<i>Owner</i>	<i>Engineer</i>	<i>Contract Amount</i>	<i>Percent Complete</i>	<i>Scheduled Completion</i>	<i>Reference Including Address & Phone #</i>
<i>Lexington Pump Station Expansion Area 2A WW System Lexington, Kentucky</i>	LFUCG	GRW Engineers	\$ 4,861,000.00		430 days	Joe Henry, P.E. 801 Corporate Drive, Lexington, KY 40503 859-223-3999
<i>Town Branch/West Hickman Creek W/WTP Lexington, Kentucky</i>	LFUCG	Strand Associates	\$ 13,442,723.00			Mike Davis, P.E. 1525 Bull Lea Rd., Ste 100, Lexington, KY 40511 859-225-8500

11. DBE Participation on current bonded projects under contract:

<u>SUBCONTRACTORS</u> <u>(LIST)</u>	<u>PROJECT</u> <u>(SPECIFIC TYPE)</u>	<u>DBE</u>	<u>% of WORK</u>
See attached			

(USE ADDITIONAL SHEETS IF NECESSARY)

12. We acknowledge that, if we are the apparent low Bidder, we will submit to the OWNER within 7 calendar days following the Bid Opening, a sworn statement on the OWNER'S form regarding all current work on hand and under contract, and a statement on the OWNER'S form of the experience of our officers, office management and field management personnel. Additionally, if requested by the OWNER, we will within 7 days following the request submit audited financial statements and loss history for insurance claims for the 3 most recent years (or a lesser period stipulated by the OWNER)—all in accordance with the Bid Documents.

Current DBE Subcontractor Participation

Subcontractor Name	Project (Specific Type)	DBE	% of Work
Ideal Construction Inc.	Buechel Basin WW System (MSD) Sewer	MBE	11%
Bancroft Group, LLC	Buechel Basin WW System (MSD) Sewer	MBE	4%
TEM Electric Company, Inc.	Buechel Basin WW System (MSD) Sewer	MBE	2%
United Construction & Design	Buechel Basin WW System (MSD) Sewer	MBE	1%
Lykins Reinforcing Inc.	Buechel Basin WW System (MSD) Sewer	WBE	4%
Industrial Floors & Lining	Buechel Basin WW System (MSD) Sewer	WBE	2%
C.A. Fulkerson, LLC	Buechel Basin WW System (MSD) Sewer	WBE	1%
Kentuckiana Seismic Survey	Buechel Basin WW System (MSD) Sewer	WBE	1%
Bison Services LLC	Expansion Area 2A WW System Improvements	MBE	6%
Lykins Reinforcing, LLC	Expansion Area 2A WW System Improvements	WBE	5%

6. LIST OF PROPOSED SUBCONTRACTORS

The following list of proposed subcontractors is required by the OWNER to be executed, completed and submitted with the BIDDER'S FORM OF PROPOSAL. All subcontractors are subject to approval of the Lexington-Fayette Urban County Government. Failure to submit this list completely filled out may be cause for rejection of bid.

<u>BRANCH OF WORK - LIST EACH MAJOR ITEM</u> Such as: Grading, bituminous paving, concrete, seeding and protection, construction staking, etc.	<u>SUBCONTRACTOR</u> DBE	<u>% of Work</u> <u>Yes/No</u>
1. _____	Name: _____	_____
	Address: _____	_____
2. _____	Name: _____	_____
	Address: _____	_____
3. _____	Name: _____	_____
	Address: _____	_____
4. _____	Name: _____	_____
	Address: _____	_____
5. _____	Name: _____	_____
	Address: _____	_____
6. _____	Name: _____	_____
	Address: _____	_____
7. _____	Name: _____	_____
	Address: _____	_____

(Attach additional sheet(s) if necessary.)

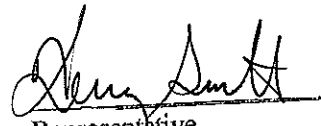
7. **AUTHENTICATION OF BID AND STATEMENT OF NON-COLLUSION AND NON-CONFLICT OF INTEREST**

I hereby swear (or affirm) under the penalty for false swearing:

1. That I am the Bidder (if the Bidder is an individual), a partner of the Bidder (if the Bidder is a partnership), or an officer or employee of the bidding corporation having authority to sign on its behalf (if the Bidder is a corporation);
2. That the attached bid has been arrived at by the Bidder independently, and has been submitted without collusion with, and without any agreement, understanding or planned common course of action, with any other contractor, vendor of materials, supplies, equipment or services described in the Invitation to Bid, designed to limit independent bidding or competition;
3. That the contents of the bid or bids have not been communicated by the Bidder or its employees or agents to any person not an employee or agent of the Bidder or its surety on any bond furnished, with the bid or bids, and will not be communicated to any such person, prior to the official opening of the bid or bids;
4. That the Bidder is legally entitled to enter into the contracts with the Lexington-Fayette Urban County Government, and is not in violation of any prohibited conflict of interest;
5. (Applicable to corporation only) That as a foreign corporation, we are registered with the Secretary of State, Commonwealth of Kentucky, and authorized to do business in the State _____ or, that as a domestic corporation, we are in good standing with the Secretary of State, Commonwealth of Kentucky X . Check the statement applicable.
6. This offer is for 90 calendar days from the date this bid is opened. In submitting the above, it is expressly agreed that, upon proper acceptance by the Lexington-Fayette Urban County Government of any or all items bid above, a contract shall thereby be created with respect to the items accepted.
7. That I have fully informed myself regarding the accuracy of the statements made in this statement.
8. That I certify that Subcontractors have not and will not be awarded any firm(s) that have been debarred from noncompliance with the Federal Labor Standards, title VI of the Civil Rights Act of 1964 As Amended, Executive Order 11246 As Amended or any other Federal Law.

Smith Contractors, Inc.
Company

11-15-12
Date



Representative
Kerry Smith

8. STATEMENT OF EXPERIENCE

NAME OF INDIVIDUAL: _____ See attached

POSITION/TITLE: _____

STATEMENT OF EXPERIENCE: _____

NAME OF INDIVIDUAL: _____

POSITION/TITLE: _____

STATEMENT OF EXPERIENCE: _____

NAME OF INDIVIDUAL: _____

POSITION/TITLE: _____

STATEMENT OF EXPERIENCE: _____

NAME OF INDIVIDUAL: _____

Smith Contractors, Inc.

KEY PERSONNEL

Schedule C

<i>Employee Name</i>	<i>Position</i>	<i>Date Started with SCI</i>	<i>Date Started In Construction</i>	<i>Prior Positions and Experience In Construction</i>
Kerry Smith	President/Owner	January, 1982	1970	Superintendent/Project Manager
Joe Smith	Vice-President	June, 1999	1998	Superintendent/Project Manager
Vandra Guffey	Treasurer	December, 1989	1982	Accounting Controller Asst.
Jerry Powell	Superintendent/ Project Manager	May, 1992	1972	Resume provided upon request
J.B. Rutledge	Superintendent	September, 1996	1973	Resume provided upon request
Jack Pennington	Superintendent	November, 1984	1983	Resume provided upon request
Dennis Muse	Superintendent	April, 2004	1984	Resume provided upon request
Jason Steinmetz	Superintendent/ Project Manager	December, 2001	2000	Resume provided upon request
Mike Craft	Superintendent	June, 2004	1994	Resume provided upon request
Dwayne Hall	Superintendent	August , 2012	1978	Resume provided upon request

POSITION/TITLE: _____

STATEMENT OF EXPERIENCE: _____

NAME OF INDIVIDUAL: _____

POSITION/TITLE: _____

STATEMENT OF EXPERIENCE: _____

NAME OF INDIVIDUAL: _____

POSITION/TITLE: _____

STATEMENT OF EXPERIENCE: _____

* Include all officers, office management's, Affirmative Action officials, and field management personnel. Attach separate sheets if necessary.

9. EQUAL OPPORTUNITY AGREEMENT

The Law

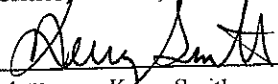
- * Title VII of the Civil Rights Act of 1964 (amended 1972) states that it is unlawful for an employer to discriminate in employment because of race, color, religion, sex, age (40-70 years) or national origin.
- * Executive Order No. 11246 on Nondiscrimination under Federal contract prohibits employment discrimination by contractor and subcontractor doing business with the Federal Government or recipients of Federal funds. This order was later amended by Executive Order No. 11375 to prohibit discrimination on the basis of sex.
- * Section 503 of the Rehabilitation Act of 1973 States:
The Contractor will not discriminate against any employee or applicant for employment because of physical or mental handicap.
- * Section 2012 of the Vietnam Era Veterans Readjustment Act of 1973 requires Affirmative Action on behalf of disabled veterans and veterans of the Vietnam Era by contractors having Federal Contracts.
- * Section 206 (A) of Executive Order 12086, Consolidation of Contract Compliance Functions for Equal Employment Opportunity, states:
The Secretary of Labor may investigate the employment practices of any Government contractor or sub-contractor to determine whether or not the contractual provisions specified in Section 202 of this order have been violated.

The Lexington-Fayette Urban County Government practices Equal Opportunity in recruiting, hiring and promoting. It is the Government's intent to affirmatively provide employment opportunities for those individuals who have previously not been allowed to enter into the mainstream of society. Because of its importance to the local Government, this policy carries the full endorsement of the Mayor, Commissioners, Directors, and all supervisory personnel. In following this commitment to Equal Employment Opportunity and because the Government is the benefactor of the Federal funds, it is both against the Urban County Government policy and illegal for the Government to let contracts to companies which knowingly or unknowingly practice discrimination in their employment practices. Violation of the above mentioned ordinances may cause a contract to be canceled and the contractor may be declared ineligible for future consideration.

Please sign this statement in the appropriate space acknowledging that you have read and understand the provisions contained herein. Return this document as part of your application packet.

Bidders

#We agree to comply with the Civil Rights Laws listed above that govern employment rights of minorities, women, Vietnam veterans, handicapped, and aged persons.



 Signature Kerry Smith

Smith Contractors, Inc.

 Name of Business

The Entity (regardless of whether construction contractor, non-construction contractor or supplier) agrees to provide equal opportunity in employment for all qualified persons, to prohibit discrimination in employment because of race, color, creed, national origin, sex or age, and to promote equal employment through a positive, continuing program from itself and each of its sub-contracting agents. This program of equal employment opportunity shall apply to every aspect of its employment policies and practices.

The Kentucky equal Employment Opportunity Act of 1978 (KRS 45.560-45.640) requires that any count, city, town, school district, water district, hospital district, or other political subdivision of the state shall include in directly or indirectly publicly funded contracts for supplies, materials, services, or equipment hereinafter entered into the following provisions:

During the performance of this contract, the contractor agrees as follows:

- (1) *The contractor will not discriminate against any employee or applicant for employment because of race, color, religion, sex, age or national origin;*
- (2) *The contractor will state in all solicitations or advertisements for employees placed by or on behalf of the contractors that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, age or national origin;*
- (3) *The contract will post notices in conspicuous places, available to employees and applicants for employment, setting forth the provisions of the non-discrimination clauses required by this section; and*
- (4) *The contractor will send a notice to each labor union or representative of workers with which he has a collective bargaining agreement or other contract or understanding advising the labor union or workers' representative of the contractor's commitments under the nondiscrimination clauses.*

The Act further provides:

KRS 45.610. Hiring minorities – Information required

- (1) *For the length of the contract, each contractor shall hire minorities from other sources within the drawing area, should the union with which he has collective bargaining agreements be unwilling to supply sufficient minorities to satisfy the agreed upon goals and timetable.*
- (2) *Each contractor shall, for the length of the contract, furnish such information as required by KRS 45.560 to KRS 45.640 and by such rules, regulations and orders issued pursuant thereto and will permit access to all books and records pertaining to his employment practices and work sites by the contracting agency and the department for purposes of investigation to ascertain compliance with KRS 45.560 to 45.640 and such rules, regulations and orders issued pursuant thereto.*

KRS 45.620. Action against contractor -- Hiring of minority contractor or subcontractor



- (1) *If any contractor is found by the department to have engaged in an unlawful practice under this chapter during the course of performing under a contract or subcontract covered under KRS 45.560 to 45.640, the department shall so certify to the contracting agency and such certification shall be binding upon the contracting agency unless it is reversed in the course of judicial review.*
- (2) *If the contractor is found to have committed an unlawful practice under KRS 45.560 to 45.640, the contracting agency may cancel or terminate the contract, conditioned upon a program for future compliance approved by the contracting agency and the department. The contracting agency may declare such a contractor ineligible to bid on further contracts with that agency until such time as the contractor complies in full with the requirements of KRS 45.560 – 45.640.*
- (3) *The equal employment provisions of KRS 45.560 to 45.640 may be met in part by a contractor by subcontracting to a minority contractor or subcontractor. For the provisions of KRS 45.560 to 45.640, a minority contractor or subcontractor shall mean a business that is owned and controlled by one or more persons disadvantaged by racial or ethnic circumstances.*

KRS 45.630 Termination of existing employee not required, when

Any provision of KRS 45.560 to 45.640 notwithstanding, no contractor shall be required to terminate an existing employee upon proof that that employee was employed prior to the date of the contract.

KRS 45.640 Minimum skills

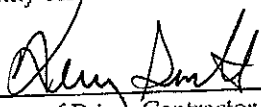
Nothing in KRS 45.560 to 45.640 shall require a contractor to hire anyone who fails to demonstrate the minimum skills required to perform a particular job.

It is recommended that all of the provisions quoted above to be included as special conditions in each contract. In the case of a contract exceeding \$250,000, the contractor is required to furnish evidence that his work-force in Kentucky is representative of the available work-force in the area from which he draws employees, or to supply an Affirmative Action plan which will achieve such representation during the life of the contract.

OMB Control No: 2090-0030
 Approved: 05/01/2008
 Approval Expires: 01/31/2011

Environmental
 Protection Agency

Disadvantaged Business Enterprise Program
 DBE Subcontractor Performance Form

NAME OF SUBCONTRACTOR		PROJECT NAME Expansion Area 2A Wastewater System Improvements Contract 2 - Force Main
ADDRESS		BID/PROPOSAL NO. LFUCG Bid No. 155-2012
TELEPHONE NO.		E-MAIL ADDRESS
PRIME CONTRACTOR NAME Smith Contractors, Inc.		
CONTRACT ITEM NO.	ITEM OF WORK OR DESCRIPTION OF SERVICES BID TO PRIME	PRICE OF WORK SUBMITTED TO PRIME CONTRACTOR
Currently certified as an MBE or WBE under EPA's DBE Program? <input type="checkbox"/> Yes <input type="checkbox"/> No		
 Signature of Prime Contractor		Date 11-15-12
Kerry Smith Print Name		President Title
Signature of Subcontractor		Date
Print Name		Title

Subcontractor is defined as a company, firm, joint venture, or individual who enters into an agreement with a contractor to provide services pursuant to an EPA award of financial assistance.



Environmental
Protection Agency

OMB Control No: 2090-0030
Approved: 05/01/2008
Approval Expires: 01/31/2011

**Disadvantaged Business Enterprise Program
DBE Subcontractor Performance Form**

The public reporting and recordkeeping burden for this collection of information is estimated to average fifteen (15) minutes. Burden means the total time, effort, or financial resources expended by persons to generate, maintain, retain, or disclose or provide information to or for a Federal agency. This includes the time needed to review instructions; develop, acquire, install, and utilize technology and systems for the purposes of collecting, validating, and verifying information, processing and maintaining information, and disclosing and providing information; adjust the existing ways to comply with any previously applicable instructions and requirements; train personnel to be able to respond to a collection of information; search data sources; complete and review the collection of information; and transmit or otherwise disclose the information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including the use of automated collection techniques to the Director, Collection Strategies Division, U.S. Environmental Protection Agency (2822), 1200 Pennsylvania Ave., NW, Washington, D.C. 20460. Include the OMB control number in any correspondence. Do not send the completed EPA DBE Subcontractor Performance Form to this address.



Environmental
Protection Agency

OMB Control No: 2090-0030
Approved: 05/01/2008
Approval Expires: 01/31/2011

Disadvantaged Business Enterprise Program
DBE Subcontractor Utilization Form

The following subcontractors will be used on this project:

COMPANY NAME, ADDRESS, PHONE NUMBER, AND E-MAIL ADDRESS	TYPE OF WORK TO BE PERFORMED	ESTIMATED DOLLAR AMOUNT	CURRENTLY CERTIFIED AS AN MBE OR WBE?

The following subcontractors will be used on this project:

COMPANY NAME, ADDRESS, PHONE NUMBER, AND E-MAIL ADDRESS	TYPE OF WORK TO BE PERFORMED	ESTIMATED DOLLAR AMOUNT	CURRENTLY CERTIFIED AS AN MBE OR WBE?

I certify under penalty of perjury that the forgoing statements are true and correct. In the event of a replacement of a subcontractor, I will adhere to the replacement requirements set forth in 40 CFR Part 33 Section 33.302(c).

Kerry Smith
Signature of Prime Contractor

11-15-12
Date

Kerry Smith
Print Name

President
Title

BID/PROPOSAL NO.

Subcontractor is defined as a company, firm, joint venture, or individual who enters into an agreement with a contractor to provide services pursuant to an EPA award of financial assistance.

PROJECT NAME
P-25



Environmental
Protection Agency

OMB Control No: 2090-0030
Approved: 05/01/2008
Approval Expires: 01/31/2011

**Disadvantaged Business Enterprise Program
DBE Subcontractor Utilization Form**

The public reporting and recordkeeping burden for this collection of information is estimated to average fifteen (15) minutes. Burden means the total time, effort, or financial resources expended by persons to generate, maintain, retain, or disclose or provide information to or for a Federal agency. This includes the time needed to review instructions; develop, acquire, install, and utilize technology and systems for the purposes of collecting, validating, and verifying information, processing and maintaining information, and disclosing and providing information; adjust the existing ways to comply with any previously applicable instructions and requirements; train personnel to be able to respond to a collection of information; search data sources; complete and review the collection of information; and transmit or otherwise disclose the information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including the use of automated collection techniques to the Director, Collection Strategies Division, U.S. Environmental Protection Agency (2822), 1200 Pennsylvania Ave., NW, Washington, D.C. 20460. Include the OMB control number in any correspondence. Do not send the completed EPA DBE Subcontractor Utilization Form to this address.

DISADVANTAGED BUSINESS ENTERPRISE PARTICIPATION POLICY

PROJECT NAME: Expansion Area 2A, Wastewater System Improvements,
Contract 2 -- Force Main- Lexington-Fayette County Government
Bid No. 155-2012

BID DATE: November 15, 2012

1. Name, address and telephone number of contact person on all DBE matters:

Prime Contractor's Name: Smith Contractors, Inc.
Contact Person: Kerry Smith
Address: P.O. Box 480, Lawrenceburg, KY 40342
Phone: 502-839-4196
Cell Phone: _____
Email: ks@sci82.com
Total Contract Amount: _____

2. Total dollar amount/percent of contract of MBE participation: _____

3. Total dollar amount/percent of contract of WBE participation: _____

4. Are certifications* for
 Yes No
each MBE/WBE/DBE subcontractor
enclosed; if no, please explain: _____

5. Are MBE/WBE/DBE
 Yes No
subcontracts or letters of intent signed by
both parties enclosed; if no, please explain: _____

6. List of MBE Subcontractors:

Name: _____
Contact Person: _____
Address: _____
Phone: _____
Cell Phone: _____
Email: _____
Type of Contract: _____
Work to be Done: _____
Amount: _____

7. List of WBE Subcontractors:

Name: _____
Contact Person: _____
Address: _____

Phone: _____
Cell Phone: _____
Email: _____
Type of Contract: _____
Work to be Done: _____
Amount: _____

Attach Additional Sheets, If Necessary

*Self-certification: Self certification of MBE/WBE/DBE firms will NOT be accepted as a valid form of certification of MBE/WBE/DBE status.

8. **Information and documentation concerning efforts taken to comply with EPA's "six good faith efforts"**

(i). Ensure DBE construction firms or material suppliers are made aware of contracting opportunities to the fullest extent practicable through outreach and recruitment activities; including placing DBEs on solicitation lists and soliciting them whenever they are potential sources. A good source for a list of DBEs is the Kentucky Transportation's website: <http://transportation.ky.gov/Civil-Rights-and-Small-Business-Development/Pages/Certified-DBE-Directory.aspx>.

The prime contractor certifies that a bidders list (see example sheet below) of qualified vendors, including DBEs, was developed for current and future solicitations and that the list will be maintained. *Submit a copy of the list as documentation.*

(ii). Make information on forthcoming opportunities available to DBEs and arrange time frames for contracts and establish delivery schedules, where the requirements permit, in a way that encourages and facilitates participation by DBEs in the competitive process; including, whenever possible, posting solicitation for bids or proposals for a sufficient amount of time as to receive a competitive bid or proposal pool.

The prime contractor certifies that every opportunity was provided to a number of DBEs to encourage their participation in the competitive process and that an adequate amount of time was provided for response.

a. List each DBE construction firm or material supplier to which a solicitation was attempted. *Submit copies of letters, emails, faxes, telecommunication logs, certified mail receipts, returned envelopes, certified mail return receipts, etc. as documentation.*

Company name and phone number: See attached solicitation letters

Area of work expertise: _____

Date of any follow-ups and person spoke to: _____

b. Advertisements, if applicable: List each publication in which an announcement or notification was placed. *Submit a tear sheet of each announcement from each publication as documentation.*

Name of publication: _____

Date(s) of advertisement: _____

Specific subcontract areas announced: _____

- c. Other, if applicable: List each notification method in which an announcement or outreach was used; list serve, public meeting, etc. *Submit applicable information to document effort.*

Method of notification: _____

Date(s) of notification: _____

der in the contracting process whether firms competing for large contracts could ntract with DBEs; including dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by DBEs in the competitive process.

- The prime contractor certifies that the project was broken into its basic elements (i.e., dirt hauling, landscaping, painting, pipe installation, material supplies, etc.) and that a determination was made whether it's economically feasible to bid the elements separately and that the analysis of this effort was documented with a short memo to the project file.

- (iv). Establishing delivery schedules, where the requirement permits, which encourage participation by small and minority business, and women's business enterprises.

- The prime contractor certifies that they established delivery schedules which would allow DBEs to participate in the projects.

- (v). Use the services and assistance of the Small Business Administration (SBA) and the Minority Business Development Agency (MBDA) of the U.S. Department of Commerce. The easiest way to utilize the services of SBA and MBDA is to visit their websites: www.sba.gov and www.mbda.gov and use the electronic tools available there or you may send the nearest SBA and MBDA office a certified letter that generally describes the solicitation, the dates it will be open, the types of vendors you are seeking and applicable SIC or NAIC codes if known. You may also use the services and assistance of the Kentucky Procurement Assistance Program (KPAP). The easiest way to utilize the services of KPAP is to send an email: ced.kpap@ky.gov and provide information on forthcoming opportunities available to DBEs.

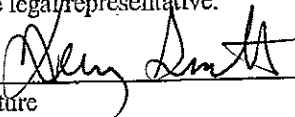
- The prime contractor certifies that the assistance of the SBA, MBDA, and/or KPAP was utilized. *Submit pages printed off the SBA and MBDA websites which evidence efforts to register a solicitation on those sites or submit copies of the letter sent and certified mail receipt as documentation; submit copies of emails with KPAP as documentation.*

- (vi). If a subcontractor awards any subcontracts, require the subcontractor to take the steps in numbers (i) through (v) above.

- The prime contractor certifies that subcontractors used for this project will be required to follow the steps of the "six good faith efforts" as listed above.

9. Signature and date:

To the best of my knowledge and belief, all "six good faith efforts" have been met and the information contained in this document is true and correct; the document has been duly authorized by the legal representative.



Signature

Kerry Smith, President

Print name and title

11-15-12

Date

10. **EQUAL EMPLOYMENT OPPORTUNITY AFFIRMATIVE ACTION POLICY**

It is the policy of _____ Smith Contractors, Inc. _____

to assure that all applicants for employment and all employees are treated on a fair and equitable basis without regard to their race, religion, sex, color, handicap, natural origin or age.

Such action shall include employment, promotion, demotion, recruitment or recruitment advertising, layoff or termination, rates of pay and other forms of compensation, and selection for training, whether apprenticeship and/or on-the-job-training.

Furthermore, this company agrees to make special recruitment efforts to hire the protected class whenever feasible. This company also agrees to adhere to all applicable federal, state, and local laws relating to Equal Employment Opportunity for all individuals.

11. WORKFORCE ANALYSIS FORM

Name of Organization: Smith Contractors, Inc. Date: 11 / 15 / 2012

Categories	Total	White		Black		Other		Total	
		M	F	M	F	M	F	M	F
Administrators	2	2						2	
Professionals									
Superintendents	7	7						7	
Supervisors									
Foremen									
Labors Technicians	28	26			2			28	
Protective Service Operators Para-Professionals	13	13						13	
Office/Clerical	6	1	4					1	5
Skilled Craft	11	9				2		11	
Service/Maintenance	6	6						6	
Total:	73	64	4		4			68	5

Prepared By: Sandra Jeffrey

12. EVIDENCE OF INSURABILITY

LEXINGTON-FAYETTE URBAN COUNTY GOVERNMENT CONSTRUCTION PROJECT
(Use separate form for each Agency or Brokerage agreeing to provide coverage)


Names Insured: Smith Contractors, Inc. Employee ID: _____
 Address: P.O. Box 480, Lawrenceburg, Ky 40342 Phone: 502-839-4196

Project to be insured: Expansion Area 2 Wastewater System Improvements Contract 2 - force main

In lieu of obtaining certificates of insurance at this time, the undersigned agrees to provide the above Named Insured with the minimum coverage listed below. These are outlined in the Insurance and Risk Management of Part V (Special Conditions), including all requirements, and conditions:

Section Items	Coverage	Minimum Limits and Policy Requirements	Limits Provided To Insured	Name of Insurer	A.M. Best's Code	Rating
SC-3, Section 2, Part 4.1 - see provisions	CGI	\$1,000,000 per occ. And \$2,000,000 aggregate	\$1,000,000 per. Occ. \$2,000,000 Agg.	Amerisure	000604	A
SC-3, Section 2, Part 4.1 - see provisions	AUTO	\$2,000,000/per occ.	\$1,000,000 per. Occ. \$10,000,000 Umb.	Amerisure	000604	A
SC-3, Section 2, Part 4.1 - see provisions	WC	Statutory w /endorsement as noted	\$4,000,000 EL	Ky - AGC	055002	A-

Section 2 includes required provisions, statements regarding insurance requirements, and the undersigned agrees to abide by all provisions for the coverage's checked above unless stated otherwise when submitting.

Agency or Brokerage: Garrett-Stotz Company Name of Authorized Representative: Steven M. Garrett
1601 Alliant Ave. Title: Producer
 City: Louisville State: Ky Zip: 40299 Authorized Signature: 
 Telephone Number: 502-415-7000 Date: 10/31/12

NOTE: Authorized signatures may be the agent's if agent has placed insurance through an agency agreement with the insurer. If insurance is brokered, authorized signature must be that of authorized representative of insurer.

13. DEBARRED FIRMS

PROJECT NAME: Expansion Area 2A
Wastewater System Improvements Contract 2 - Force Main

BID NUMBER: 155-2012

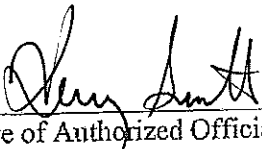
LEXINGTON-FAYETTE URBAN COUNTY GOVERNMENT
LEXINGTON, KY

All prime Contractors shall certify that Subcontractors have not and will not be awarded to any firms that has been debarred for noncompliance with the Federal Labor Standards, Title VI of the Civil Rights Act of 1964 As Amended, Executive Order 11246 As Amended or any other Federal Law.

All bidders shall complete the attached certification in duplicate and submit both copies to the Owner with the bid proposal. The Owner (grantee) shall transmit one copy to the Lexington-Fayette Urban County Government, Division of Community Development, within fourteen (14) days after bid opening.

The undersigned hereby certifies that the firm of Smith Contractors, Inc. has not and will not award a subcontract, in connection with any contract award to it as the result of this bid, to any firm that has been debarred for noncompliance with the Federal labor Standards, Title VI of the civil Rights Act of 1964, Executive Order 11246 as amended or any Federal Law.

Smith Contractors, Inc.
Name of Firm Submitting Bid


Signature of Authorized Official Kerry Smith

President
Title

11-15-12
Date

14. DEBARMENT CERTIFICATION

All contractors/subcontractors shall complete the following certification and submit it with the bid proposal.

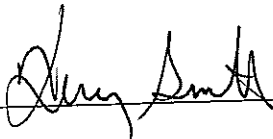
The contractor/subcontractor certifies in accordance with Executive Order 12549 (Debarment and Suspension 2/18/86) that to the best of its knowledge and belief, that it and its principals:

- 1) Are not presently debarred, suspended, proposed for debarment, declared negligible, or voluntarily excluded from covered transactions or contract by any Federal department or agency for noncompliance with the Federal Labor Standards, Title VI of the Civil Rights Act of 1964 as amended, Executive Order 11246 as amended or any other Federal law;
 - a) Have not within a three year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - b) Are not presently indicted for or otherwise criminally or civilly charged by a government entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(a) of this certification; and
 - c) Have not within a three year period preceding this bid has one or more public (Federal, State or local) transactions or contracts terminated for cause or default.
- 2) Where the contractor is unable to certify to any of the statements in this certification, such prospective contractors shall attach an explanation to this certification form.

Firm Name: Smith Contractors, Inc.

Project: Expansion Area 2A
Wastewater System Improvements Contract 2 - Force Main

Printed Name and Title of Authorized Representative: Kerry Smith, President

Signature: 

Date: 11-15-12

15. EPA Form 5700-49

**CERTIFICATION REGARDING DEBARMENT,
SUSPENSION AND OTHER RESPONSIBILITY MATTERS**

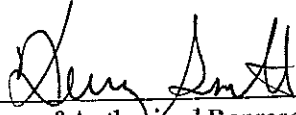
The prospective participant certifies to the best of its knowledge and belief that it and its principals:

- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
- (b) Have not within a three year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) Are not presently indicted for or otherwise criminally or civilly charged by a government entity (Federal, State, or Local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
- (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

I understand that a false statement on this certification may be grounds for rejection of this proposal or termination of the award. In addition, under 18 USC Sec. 1001, a false statement may result in a fine of up to \$10,000 or imprisonment for up to 5 years, or both.

Kerry Smith, President

Typed Name & Title of Authorized Representative



Signature of Authorized Representative

11-15-12

Date

_____ I am unable to certify to the above statements. My explanation is attached.

16. CERTIFICATION REGARDING LOBBYING

**Certification for Contracts, Grants,
Loans, and Cooperative Agreements**

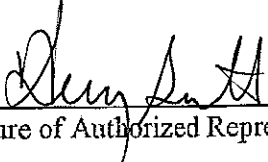
The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Kerry Smith, President

Typed Name & Title of Authorized Representative



Signature of Authorized Representative

11-15-12

Date

_____ I am unable to certify to the above statements. My explanation is attached.

17. ITEMS TO BE SUBMITTED IN BID PACKAGE

The following documents are attached to and made a condition of this bid:

- FORM OF PROPOSAL (P-1 THRU P-13)
- STATEMENT OF BIDDER'S QUALIFICATIONS (P-14 THRU P-16)
- LIST OF PROPOSED SUBCONTRACTORS (P-17)
- AUTHENTICATION OF BID AND STATEMENT OF NON-COLLUSION, NON-CONFLICT OF INTEREST (P-18)
- STATEMENT OF EXPERIENCE (P-19 THRU P-20)
- EQUAL OPPORTUNITY AGREEMENT (P-21 THRU P-23)
- EPA FORM 6100-3 (P-24)
- EPA FORM 6100-4 (P-26)
- DISADVANTAGED BUSINESS ENTERPRISE PARTICIPATION POLICY (P-28 THRU P-31)
- EQUAL OPPORTUNITY AFFIRMATIVE ACTION POLICY (P-32)
- WORKFORCE ANALYSIS (P-33)
- EVIDENCE OF INSURABILITY FORM (P-34)
- DEBARRED FIRMS (P-35)
- DEBARRMENT CERTIFICATION (P-36)
- EPA FORM 5700-49 (P-37)
- CERTIFICATION REGARDING LOBBYING (P-38)
- BID BOND WITH POWER OF ATTORNEY

END OF SECTION

American Fire and Casualty Company
The Ohio Casualty Insurance Company
West American Insurance Company

Liberty Mutual Insurance Company
Peerless Insurance Company

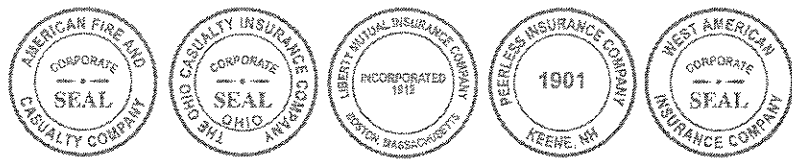
POWER OF ATTORNEY

KNOWN ALL PERSONS BY THESE PRESENTS: That American Fire & Casualty Company and The Ohio Casualty Insurance Company are corporations duly organized under the laws of the State of Ohio, that Liberty Mutual Insurance Company is a corporation duly organized under the laws of the State of Massachusetts, that Peerless Insurance Company is a corporation duly organized under the laws of the State of New Hampshire, and West American Insurance Company is a corporation duly organized under the laws of the State of Indiana (herein collectively called the "Companies"), pursuant to and by authority herein set forth, does hereby name, constitute and appoint, DAVID P. O'BRYAN, CHRISTOPHER A. CYTERSKI, DAVID DOUGLAS,

all of the city of LOUISVILLE, state of KENTUCKY each individually if there be more than one named, its true and lawful attorney-in-fact to make, execute, seal, acknowledge and deliver, for and on its behalf as surety and as its act and deed, any and all undertakings, bonds, recognizances and other surety obligations, in pursuance of these presents and shall be as binding upon the Companies as if they have been duly signed by the president and attested by the secretary of the Companies in their own proper persons.

IN WITNESS WHEREOF, this Power of Attorney has been subscribed by an authorized officer or official of the Companies and the corporate seals of the Companies have been affixed thereto this 15th day of February, 2012.

Not valid for mortgage, note, loan, letter of credit, bank deposit, currency rate, interest rate or residual value guarantees.



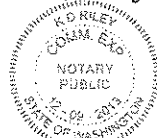
American Fire and Casualty Company
The Ohio Casualty Insurance Company
Liberty Mutual Insurance Company
Peerless Insurance Company
West American Insurance Company

By: Gregory W. Davenport
Gregory W. Davenport, Assistant Secretary

STATE OF WASHINGTON ss
COUNTY OF KING

On this 15th day of February, 2012, before me personally appeared Gregory W. Davenport, who acknowledged himself to be the Assistant Secretary of American Fire and Casualty Company, Liberty Mutual Insurance Company, The Ohio Casualty Company, Peerless Insurance Company and West American Insurance Company, and that he, as such, being authorized so to do, execute the foregoing instrument for the purposes therein contained by signing on behalf of the corporations by himself as a duly authorized officer.

IN WITNESS WHEREOF, I have hereunto subscribed my name and affixed my notarial seal at Seattle, Washington, on the day and year first above written.



By: KD Riley
KD Riley, Notary Public

This Power of Attorney is made and executed pursuant to and by authority of the following By-laws and Authorizations of American Fire and Casualty Company, The Ohio Casualty Insurance Company, Liberty Mutual Insurance Company, West American Insurance Company and Peerless Insurance Company, which resolutions are now in full force and effect reading as follows:

ARTICLE IV – OFFICERS – Section 12. Power of Attorney. Any officer or other official of the Corporation authorized for that purpose in writing by the Chairman or the President, and subject to such limitation as the Chairman or the President may prescribe, shall appoint such attorneys-in-fact, as may be necessary to act in behalf of the Corporation to make, execute, seal, acknowledge and deliver as surety any and all undertakings, bonds, recognizances and other surety obligations. Such attorneys-in-fact, subject to the limitations set forth in their respective powers of attorney, shall have full power to bind the Corporation by their signature and execution of any such instruments and to attach thereto the seal of the Corporation. When so executed, such instruments shall be as binding as if signed by the President and attested to by the Secretary. Any power or authority granted to any representative or attorney-in-fact under the provisions of this article may be revoked at any time by the Board, the Chairman, the President or by the officer or officers granting such power or authority.

ARTICLE XIII – Execution of Contracts – SECTION 5. Surety Bonds and Undertakings. Any officer of the Company authorized for that purpose in writing by the chairman or the president, and subject to such limitations as the chairman or the president may prescribe, shall appoint such attorneys-in-fact, as may be necessary to act in behalf of the Company to make, execute, seal, acknowledge and deliver as surety any and all undertakings, bonds, recognizances and other surety obligations. Such attorneys-in-fact subject to the limitations set forth in their respective powers of attorney, shall have full power to bind the Company by their signature and execution of any such instruments and to attach thereto the seal of the Company. When so executed such instruments shall be as binding as if signed by the president and attested by the secretary.

Certificate of Designation -- The President of the Company, acting pursuant to the Bylaws of the Company, authorizes Gregory W. Davenport, Assistant Secretary to appoint such attorney-in-fact as may be necessary to act on behalf of the Company to make, execute, seal, acknowledge and deliver as surety any and all undertakings, bonds, recognizances and other surety obligations.

Authorization – By unanimous consent of the Company's Board of Directors, the Company consents that facsimile or mechanically reproduced signature of any assistant secretary or other officer of the Company, wherever appearing upon a certified copy of any power of attorney issued by the Company in connection with surety bonds, shall be valid and biding upon the Company with the same force and effect as though manually affixed.

I, David M. Carey, the undersigned, Assistant Secretary, of American Fire and Casualty Company, The Ohio Casualty Insurance Company, Liberty Mutual insurance Company, West American Insurance Company and Peerless Insurance Company do hereby certify that the original power of attorney of which the foregoing is a full above and foregoing is a true and correct copy of the Power of Attorney executed by said Companies, which is in full force and effect and has not been revoked.

IN TESTIMONY WHEREOF, I have hereunto set my hand and affixed the seals of said Companies this 15th day of November, 2012.



By: David M. Carey
David M. Carey, Assistant Secretary

To confirm the validity of this Power of Attorney call 1-610-832-8240 between 9:00 am and 4:30 pm EST on any business day.

*** TX REPORT ***

TRANSMISSION OK

TX/RX NO 4145
RECIPIENT ADDRESS 18598652063
DESTINATION ID
ST. TIME 11/06 12:12
TIME USE 01'21
PAGES SENT 2
RESULT OK

P.O. Box 480
1241 Bypass North
Lawrenceburg, KY 40342
502-839-4198 502-839-8348-FAX #
bh@sci82.com

SMITH CONTRACTORS, INC.

Fax Transmittal

To: Sheila Jo Burke	From: Billy Holiday
Fax: 859-865-2063	Pages: 2
Co.: S J Earth Boring.	Date: 11-06-12
Re: Area 2A Wastewater – Force Main Lexington, KY bids 11-15-12	CC:

Comments: Please fill-out attached EPA form and return with your bid for DBE requirements.

Each line with an 'X' needs to be filled out. Thanks

OMB Control No: 2090-0030
 Approved: 05/01/2008
 Approval Expires: 01/31/2011

Environmental
 Protection Agency

Disadvantaged Business Enterprise Program
 DBE Subcontractor Performance Form

NAME OF SUBCONTRACTOR X		PROJECT NAME Expansion Area 2A Wastewater System Improvements Contract 2 - Force Main
ADDRESS X		BID/PROPOSAL NO. LFUCG Bid No. 155-2012
TELEPHONE NO. X		E-MAIL ADDRESS
PRIME CONTRACTOR NAME Smith Contractors, Inc.		
CONTRACT ITEM NO.	ITEM OF WORK OR DESCRIPTION OF SERVICES BID TO PRIME	PRICE OF WORK SUBMITTED TO PRIME CONTRACTOR
X	X	X
Currently certified as an MBE or WBE under EPA's DBE Program? Yes No		
Signature of Prime Contractor		Date 11-15-12
Kerry Smith		President
Print Name		Title
X Signature of Subcontractor		X Date
X Print Name		X Title

*Subcontractor is defined as a company, firm, joint venture, or individual who enters into an agreement with a contractor to provide services pursuant to an EPA award of financial assistance.

Subcontractor: S & J Earth Boring Inc

Fax:

Requesting a competitive DISADVANTAGED BUSINESS ENTERPRISE subcontractor bid for:

Project: Expansion Area 2A Wastewater System Improvements Contract 2-Force Main

Location: Lexington, KY

YES, I am interested in submitting a DISADVANTAGED BUSINESS ENTERPRISE Subcontractor Proposal for this project.

NO, I am not interested in submitting a DISADVANTAGED BUSINESS ENTERPRISE Subcontractor Proposal for this project.

Sheila Jo Burke
Signature - In Writing

Sheila Jo Burke
Signature - Typed or Written

10-31-2012
Date

*****Please fax reply to 502-839-8348 as soon as possible for our records.*****

Smith Contractors, Inc., P.O. Box 480, Lawrenceburg, KY 40342 502-839-4196

Smith Contractors, Inc is an Equal Opportunity Employer

SMITH CONTRACTORS, INC.

**P.O. Box 480
1241 Bypass North
Lawrenceburg, KY 40342**

**502 -839-4196
502-839-8348 – Fax #**

October 22, 2012

S & J Earth Boring Inc.
239 Broce Burke Road
Salvisa, KY 40372-9752
Fax: email:
259-865-2063

Re: Expansion Area 2A Wastewater System Improvements Contract 2-Force Main
Lexington, KY

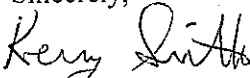
We will be bidding as a general contractor on the above referenced project that bids on Thursday, November 15, 2012 at 2:00 p.m. local time.

We are soliciting DRILLING & BORING CONTRACTORS.

Plans are available for viewing at Lexington-Fayette Urban County Government, Division of Central Purchasing, 200 East Main Street, Third Floor, Room 338, Lexington, KY 40507, 859-258-3320; Builders Exchange of Louisville, 2300 Meadow Drive, Louisville, KY 40205, 502-459-9800; GRW, 801 CORPORATE DR., LEXINGTON, KY, 40503, 859-223-3999; McGraw-Hill Construction Dodge, 4300 Beltway Place, Suite 180, Arlington, TX 76018, dodge_planroomMW@mcgraw-hill.com and Smith Contractors, Inc., 1241 Bypass N, Lawrenceburg, KY 40342.

If you are interested in submitting a bid, please email your quote to bh@sci82.com or fax to 502-839-8348 by noon on Wednesday, November 14, 2012. Attached to this letter is a reply to indicate whether you are or you are not interested in quoting. Please complete and return via email above or fax to number above for our files as soon as possible. If you have any questions, please call our office at 502-839-4196.

Sincerely,



Kerry Smith
President

Attachment

Subcontractor: S & J Earth Boring Inc

Fax:

Requesting a competitive DISADVANTAGED BUSINESS ENTERPRISE subcontractor bid for:

**Project: Expansion Area 2A Wastewater System
Improvements Contract 2-Force Main**

Location: Lexington, KY

____ **YES**, I am interested in submitting a DISADVANTAGED BUSINESS ENTERPRISE Subcontractor Proposal for this project.

____ **NO**, I am not interested in submitting a DISADVANTAGED BUSINESS ENTERPRISE Subcontractor Proposal for this project.

Signature – In Writing

Signature – Typed or Written

Date

*****Please fax reply to 502-839-8348 as soon as possible for our records.*****

Smith Contractors, Inc., P.O. Box 480, Lawrenceburg, KY 40342 502-839-4196

Smith Contractors, Inc is an Equal Opportunity Employer

Billy Holiday

From: Billy Holiday <bh@sci82.com>
Sent: Monday, October 22, 2012 2:53 PM
To: aclexcontracting@aol.com
Subject: Expansion Area 2A Wastewater System Improvements Contract 2-Force Main
Attachments: Lexington Contracting.pdf

Attached is RFQ for above project.

Regards,
Billy Holiday
Smith Contractors, Inc.
502-839-4196
502-839-8348 fax

SMITH CONTRACTORS, INC.

***P.O. Box 480
1241 Bypass North
Lawrenceburg, KY 40342***

***502-839-4196
502-839-8348 – Fax #***

October 22, 2012

Lexington Contracting LLC
1500 Leestown Road
Lexington, KY 40511
Fax: email: aclexcontracting@aol.com

Re: Expansion Area 2A Wastewater System Improvements Contract 2-Force Main
Lexington, KY


We will be bidding as a general contractor on the above referenced project that bids on Thursday, November 15, 2012 at 2:00 p.m. local time.

We are soliciting DISADVANTAGED BUSINESS ENTERPRISE firms.

Plans are available for viewing at Lexington-Fayette Urban County Government, Division of Central Purchasing, 200 East Main Street, Third Floor, Room 338, Lexington, KY 40507, 859-258-3320; Builders Exchange of Louisville, 2300 Meadow Drive, Louisville, KY 40205, 502-459-9800; GRW, 801 CORPORATE DR., LEXINGTON, KY, 40503, 859-223-3999; McGraw-Hill Construction Dodge, 4300 Beltway Place, Suite 180, Arlington, TX 76018, dodge_planroomMW@mcgraw-hill.com and Smith Contractors, Inc., 1241 Bypass N, Lawrenceburg, KY 40342.

If you are interested in submitting a bid, please email your quote to bh@sci82.com or fax to 502-839-8348 by noon on Wednesday, November 14, 2012. Attached to this letter is a reply to indicate whether you are or you are not interested in quoting. Please complete and return via email above or fax to number above for our files as soon as possible. If you have any questions, please call our office at 502-839-4196.

Sincerely,



Kerry Smith
President

Attachment

Subcontractor: Lexington Contracting LLC

Fax:

Requesting a competitive DISADVANTAGED BUSINESS ENTERPRISE subcontractor bid for:

**Project: Expansion Area 2A Wastewater System
Improvements Contract 2-Force Main**

Location: Lexington, KY

 YES, I am interested in submitting a DISADVANTAGED BUSINESS ENTERPRISE Subcontractor Proposal for this project.

 NO, I am not interested in submitting a DISADVANTAGED BUSINESS ENTERPRISE Subcontractor Proposal for this project.

Signature – In Writing

Signature – Typed or Written

Date

*****Please fax reply to 502-839-8348 as soon as possible for our records.*****

Smith Contractors, Inc., P.O. Box 480, Lawrenceburg, KY 40342 502-839-4196

Smith Contractors, Inc is an Equal Opportunity Employer

Billy Holiday

From: Billy Holiday <bh@sci82.com>
Sent: Monday, October 22, 2012 2:52 PM
To: ggpaving@insightbb.com
Subject: Expansion Area 2A Wastewater System Improvements Contract 2-Force Main
Attachments: G & G Paving.pdf

Attached is RFQ for above project.

Regards,
Billy Holiday
Smith Contractors, Inc.
502-839-4196
502-839-8348 fax

SMITH CONTRACTORS, INC.

**P.O. Box 480
1241 Bypass North
Lawrenceburg, KY 40342**

**502 -839-4196
502-839-8348 – Fax #**

October 22, 2012

G & G Paving and Construction Inc.
3136 Bracktown Road
Lexington, KY 40511
Fax: email: ggpaving@insightbb.com

Re: Expansion Area 2A Wastewater System Improvements Contract 2-Force Main
Lexington, KY


We will be bidding as a general contractor on the above referenced project that bids on Thursday, November 15, 2012 at 2:00 p.m. local time.

We are soliciting DISADVANTAGED BUSINESS ENTERPRISE firms.

Plans are available for viewing at Lexington-Fayette Urban County Government, Division of Central Purchasing, 200 East Main Street, Third Floor, Room 338, Lexington, KY 40507, 859-258-3320; Builders Exchange of Louisville, 2300 Meadow Drive, Louisville, KY 40205, 502-459-9800; GRW, 801 CORPORATE DR., LEXINGTON, KY, 40503, 859-223-3999; McGraw-Hill Construction Dodge, 4300 Beltway Place, Suite 180, Arlington, TX 76018, dodge_planroomMW@mcgraw-hill.com and Smith Contractors, Inc., 1241 Bypass N, Lawrenceburg, KY 40342.

If you are interested in submitting a bid, please email your quote to bh@sci82.com or fax to 502-839-8348 by noon on Wednesday, November 14, 2012. Attached to this letter is a reply to indicate whether you are or you are not interested in quoting. Please complete and return via email above or fax to number above for our files as soon as possible. If you have any questions, please call our office at 502-839-4196.

Sincerely,



Kerry Smith
President

Attachment

Subcontractor: G & G Paving and Construction, Inc.

Fax:

Requesting a competitive DISADVANTAGED BUSINESS ENTERPRISE subcontractor bid for:

**Project: Expansion Area 2A Wastewater System
Improvements Contract 2-Force Main**

Location: Lexington, KY

____ **YES**, I am interested in submitting a DISADVANTAGED BUSINESS ENTERPRISE Subcontractor Proposal for this project.

____ **NO**, I am not interested in submitting a DISADVANTAGED BUSINESS ENTERPRISE Subcontractor Proposal for this project.

Signature – In Writing

Signature – Typed or Written

Date

*****Please fax reply to 502-839-8348 as soon as possible for our records.*****

Smith Contractors, Inc., P.O. Box 480, Lawrenceburg, KY 40342 502-839-4196

*** TX REPORT ***

TRANSMISSION OK

TX/RX NO 4082
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DESTINATION ID
ST. TIME 10/22 14:49
TIME USE 00'30
PAGES SENT 2
RESULT OK

SMITH CONTRACTORS, INC.

*P.O. Box 480
1241 Bypass North
Lawrenceburg, KY 40342*

*502-839-4196
502-839-8348 - Fax #*

October 22, 2012

Effective Erosion Control Inc.
9201 Seaton Spring Parkway
Louisville, KY 40222
Fax: 502-412-0729 email: carolcdeeb@gmail.com

Re: Expansion Area 2A Wastewater System Improvements Contract 2-Forc Main
Lexington, KY

We will be bidding as a general contractor on the above referenced project that bids on Thursday, November 15, 2012 at 2:00 p.m. local time.

We are soliciting DISADVANTAGED BUSINESS ENTERPRISE firms.

Plans are available for viewing at Lexington-Fayette Urban County Government, Division of Central Purchasing, 200 East Main Street, Third Floor, Room 338, Lexington, KY 40507, 859-258-3320; Builders Exchange of Louisville, 2300 Meadow Drive, Louisville, KY 40205, 502-459-9800; GRW, 801 CORPORATE DR., LEXINGTON, KY, 40503, 859-223-3999; McGraw-Hill Construction Dodge, 4300 Beltway Place, Suite 180, Arlington, TX 76018, dodge_planroomMW@mcgraw-hill.com and Smith Contractors, Inc., 1241 Bypass N, Lawrenceburg, KY 40342.

If you are interested in submitting a bid, please email your quote to bh@sci82.com or fax to 502-839-8348 by noon on Wednesday, November 14, 2012. Attached to this letter is a reply to indicate whether you are or you are not interested in quoting. Please complete and return via email above or fax to number above for our files as soon as possible. If you have any questions, please call our office at 502-839-4196.

Sincerely,

17 0/11

SMITH CONTRACTORS, INC.

***P.O. Box 480
1241 Bypass North
Lawrenceburg, KY 40342***

***502 -839-4196
502-839-8348 – Fax #***

October 22, 2012

Effective Erosion Control Inc.
9201 Seaton Spring Parkway
Louisville, KY 40222
Fax: 502-412-0729 email: carolcdeeb@gmail.com

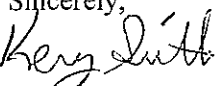
Re: Expansion Area 2A Wastewater System Improvements Contract 2-Force Main
Lexington, KY

We will be bidding as a general contractor on the above referenced project that bids on Thursday, November 15, 2012 at 2:00 p.m. local time.

We are soliciting DISADVANTAGED BUSINESS ENTERPRISE firms.

Plans are available for viewing at Lexington-Fayette Urban County Government, Division of Central Purchasing, 200 East Main Street, Third Floor, Room 338, Lexington, KY 40507, 859-258-3320; Builders Exchange of Louisville, 2300 Meadow Drive, Louisville, KY 40205, 502-459-9800; GRW, 801 CORPORATE DR., LEXINGTON, KY, 40503, 859-223-3999; McGraw-Hill Construction Dodge, 4300 Beltway Place, Suite 180, Arlington, TX 76018, dodge_planroomMW@mcgraw-hill.com and Smith Contractors, Inc., 1241 Bypass N, Lawrenceburg, KY 40342.

If you are interested in submitting a bid, please email your quote to bh@sci82.com or fax to 502-839-8348 by noon on Wednesday, November 14, 2012. Attached to this letter is a reply to indicate whether you are or you are not interested in quoting. Please complete and return via email above or fax to number above for our files as soon as possible. If you have any questions, please call our office at 502-839-4196.

Sincerely,

Kerry Smith
President

Attachment

Subcontractor: Effective Erosion Control Inc.

Fax:

Requesting a competitive DISADVANTAGED BUSINESS ENTERPRISE subcontractor bid for:

Project: Expansion Area 2A Wastewater System Improvements Contract 2-Force Main

Location: Lexington, KY

____ **YES**, I am interested in submitting a DISADVANTAGED BUSINESS ENTERPRISE Subcontractor Proposal for this project.

____ **NO**, I am not interested in submitting a DISADVANTAGED BUSINESS ENTERPRISE Subcontractor Proposal for this project.

Signature – In Writing

Signature – Typed or Written

Date

*****Please fax reply to 502-839-8348 as soon as possible for our records.*****

Smith Contractors, Inc., P.O. Box 480, Lawrenceburg, KY 40342 502-839-4196

 *** TX REPORT ***

TRANSMISSION OK

TX/RX NO 4083
 RECIPIENT ADDRESS 18122480771
 DESTINATION ID
 ST. TIME 10/22 14:50
 TIME USE 00'28
 PAGES SENT 2
 RESULT OK

SMITH CONTRACTORS, INC.

*P.O. Box 480
 1241 Bypass North
 Lawrenceburg, KY 40342*

*502-839-4196
 502-839-8348 – Fax #*

October 22, 2012

Summers Grading Service LLC
 7917 Old Highway 60
 Sellersburg, IN 47172
 Fax: 812-248-0771 email: dcsommers@sbcglobal.net

Re: Expansion Area 2A Wastewater System Improvements Contract 2-Force Main
 Lexington, KY

We will be bidding as a general contractor on the above referenced project that bids on Thursday, November 15, 2012 at 2:00 p.m. local time.

We are soliciting DISADVANTAGED BUSINESS ENTERPRISE firms.

Plans are available for viewing at Lexington-Fayette Urban County Government, Division of Central Purchasing, 200 East Main Street, Third Floor, Room 338, Lexington, KY 40507, 859-258-3320; Builders Exchange of Louisville, 2300 Meadow Drive, Louisville, KY 40205, 502-459-9800; GRW, 801 CORPORATE DR., LEXINGTON, KY, 40503, 859-223-3999; McGraw-Hill Construction Dodge, 4300 Beltway Place, Suite 180, Arlington, TX 76018, dodge_planroomMW@mcgraw-hill.com and Smith Contractors, Inc., 1241 Bypass N, Lawrenceburg, KY 40342.

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Sincerely,

D *0111*

SMITH CONTRACTORS, INC.

***P.O. Box 480
1241 Bypass North
Lawrenceburg, KY 40342***

***502 -839-4196
502-839-8348 – Fax #***

October 22, 2012

Summers Grading Service LLC
7917 Old Highway 60
Sellersburg, IN 47172
Fax: 812-248-0771 email: dcsummers@sbcglobal.net

Re: Expansion Area 2A Wastewater System Improvements Contract 2-Force Main
Lexington, KY

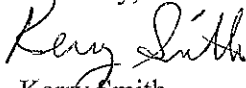
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Sincerely,



Kerry Smith
President

Attachment

Subcontractor: Summers Grading Service LLC

Fax:

Requesting a competitive DISADVANTAGED BUSINESS ENTERPRISE subcontractor bid for:

**Project: Expansion Area 2A Wastewater System
Improvements Contract 2-Force Main**

Location: Lexington, KY

____ **YES**, I am interested in submitting a DISADVANTAGED BUSINESS ENTERPRISE Subcontractor Proposal for this project.

____ **NO**, I am not interested in submitting a DISADVANTAGED BUSINESS ENTERPRISE Subcontractor Proposal for this project.

Signature – In Writing

Signature – Typed or Written

Date

*****Please fax reply to 502-839-8348 as soon as possible for our records.*****

Smith Contractors, Inc., P.O. Box 480, Lawrenceburg, KY 40342 502-839-4196

Subcontractor: C A Fulkerson, LLC

Fax:

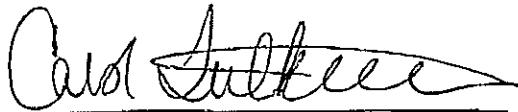
Requesting a competitive DISADVANTAGED BUSINESS ENTERPRISE subcontractor bid for:

**Project: Expansion Area 2A Wastewater System
Improvements Contract 2-Force Main
Improvements**

Location: Lexington, KY

 YES, I am interested in submitting a DISADVANTAGED BUSINESS ENTERPRISE Subcontractor Proposal for this project.

 NO, I am not interested in submitting a DISADVANTAGED BUSINESS ENTERPRISE Subcontractor Proposal for this project.



Signature – In Writing

Carol A. Fulkerson

Signature – Typed or Written

10-18-2012

Date

*****Please fax reply to 502-839-8348 as soon as possible for our records.*****

Smith Contractors, Inc., P.O. Box 480, Lawrenceburg, KY 40342 502-839-4196

Smith Contractors, Inc is an Equal Opportunity Employer

 *** TX REPORT ***

TRANSMISSION OK

TX/RX NO 4081
 RECIPIENT ADDRESS 18129521770
 DESTINATION ID
 ST. TIME 10/22 14:48
 TIME USE 00'26
 PAGES SENT 2
 RESULT OK

SMITH CONTRACTORS, INC.

*P.O. Box 480
 1241 Bypass North
 Lawrenceburg, KY 40342*

*502-839-4196
 502-839-8348 - Fax #*

October 22, 2012

C A Fulkerson, LLC
 1650 quarry Road
 Corydon, IN 47112
 Fax: 812-952-1770 email: cafulkersonllc@aol.com

Re: Expansion Area 2A Wastewater System Improvements Contract 2-Force Main
 Lexington, KY

We will be bidding as a general contractor on the above referenced project that bids on Thursday, November 15, 2012 at 2:00 p.m. local time.

We are soliciting DISADVANTAGED BUSINESS ENTERPRISE firms.

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SMITH CONTRACTORS, INC.

*P.O. Box 480
1241 Bypass North
Lawrenceburg, KY 40342*

*502 -839-4196
502-839-8348 – Fax #*

October 22, 2012

C A Fulkerson, LLC
1650 quarry Road
Corydon, IN 47112
Fax: 812-952-1770 email: cafulkersonllc@aol.com

Re: Expansion Area 2A Wastewater System Improvements Contract 2-Force Main
Lexington, KY

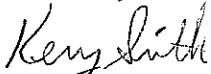
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Sincerely,



Kerry Smith
President

Attachment

Subcontractor: C A Fulkerson, LLC

Fax:

Requesting a competitive DISADVANTAGED BUSINESS ENTERPRISE subcontractor bid for:

**Project: Expansion Area 2A Wastewater System
Improvements Contract 2-Force Main
Improvements**

Location: Lexington, KY

 YES, I am interested in submitting a DISADVANTAGED BUSINESS ENTERPRISE Subcontractor Proposal for this project.

 NO, I am not interested in submitting a DISADVANTAGED BUSINESS ENTERPRISE Subcontractor Proposal for this project.

Signature – In Writing

Signature – Typed or Written

Date

*****Please fax reply to 502-839-8348 as soon as possible for our records.*****

Smith Contractors, Inc., P.O. Box 480, Lawrenceburg, KY 40342 502-839-4196

Smith Contractors, Inc is an Equal Opportunity Employer

Billy Holiday

From: Billy Holiday <bh@sci82.com>
Sent: Monday, October 22, 2012 4:08 PM
To: 'sbloomin@aol.com'
Subject: Expansion Area 2A Wastewater System Improvements Contract 2 Force Main
Attachments: Somethin Bloomin.pdf

Attached is RFQ for above project.

Regards,
Billy Holiday
Smith Contractors, Inc.
502-839-4196
502-839-8348 fax

SMITH CONTRACTORS, INC.

*P.O. Box 480
1241 Bypass North
Lawrenceburg, KY 40342*

*502 -839-4196
502-839-8348 – Fax #*

October 22, 2012

Somethin' Bloomin'
416 West Maxwell
Lexington, KY 40508
Fax: email: sbloomin@aol.^{com}net

Re: Expansion Area 2A Wastewater System Improvements Contract 2-Force Main
Lexington, KY

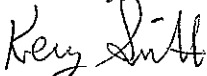
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Sincerely,



Kerry Smith
President

Attachment

Subcontractor: Somethin' Bloomin'

Fax:

Requesting a competitive DISADVANTAGED BUSINESS ENTERPRISE subcontractor bid for:

**Project: Expansion Area 2A Wastewater System
Improvements Contract 2-Force Main**

Location: Lexington, KY

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____ **NO**, I am not interested in submitting a DISADVANTAGED BUSINESS ENTERPRISE Subcontractor Proposal for this project.

Signature – In Writing

Signature – Typed or Written

Date

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Smith Contractors, Inc., P.O. Box 480, Lawrenceburg, KY 40342 502-839-4196

Smith Contractors, Inc is an Equal Opportunity Employer

Billy Holiday

From: Billy Holiday <bh@sci82.com>
Sent: Monday, October 22, 2012 2:57 PM
To: margaret@dropseednursery.com
Subject: Expansion Area 2A Wastewater System Improvements Contract 2-Force Main
Attachments: Dropseed Native.pdf

Attached is RFQ for above project.

Regards,
Billy Holiday
Smith Contractors, Inc.
502-839-4196
502-839-8348 fax

SMITH CONTRACTORS, INC.

*P.O. Box 480
1241 Bypass North
Lawrenceburg, KY 40342*

*502 -839-4196
502-839-8348 -- Fax #*

October 22, 2012

Dropseed Native Plant Nursery LLC
1205 S. Buckeye Lane
Goshen, KY 40026
Fax: email: Margaret@dorpseednursery.com

Re: Expansion Area 2A Wastewater System Improvements Contract 2-Force Main
Lexington, KY

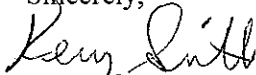
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Sincerely,



Kerry Smith
President

Attachment

Subcontractor: Dropseed Native Plant Nursery LLC

Fax:

Requesting a competitive DISADVANTAGED BUSINESS ENTERPRISE subcontractor bid for:

**Project: Expansion Area 2A Wastewater System
Improvements Contract 2-Force Main**

Location: Lexington, KY

____ **YES**, I am interested in submitting a DISADVANTAGED BUSINESS ENTERPRISE Subcontractor Proposal for this project.

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Signature – In Writing

Signature – Typed or Written

Date

*****Please fax reply to 502-839-8348 as soon as possible for our records.*****

Smith Contractors, Inc., P.O. Box 480, Lawrenceburg, KY 40342 502-839-4196

Billy Holiday

From: Billy Holiday <bh@sci82.com>
Sent: Monday, October 22, 2012 2:56 PM
To: 'jodi@environsinc.com'
Subject: Expansion Area 2A Wastewater System Improvements Contract 2-Force Main
Attachments: Environs.pdf

Attached is RFQ for above project.

Regards,
Billy Holiday
Smith Contractors, Inc.
502-839-4196
502-839-8348 fax

SMITH CONTRACTORS, INC.

***P.O. Box 480
1241 Bypass North
Lawrenceburg, KY 40342***

***502 -839-4196
502-839-8348 – Fax #***

October 22, 2012

Environs Inc.
1402-B Evergreen Road
Louisville, KY 40223
Fax: email: jodi@environsinc.com

Re: Expansion Area 2A Wastewater System Improvements Contract 2-Force Main
Lexington, KY

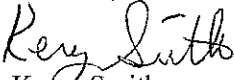
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Sincerely,



Kerry Smith
President

Attachment

Subcontractor: Environs Inc.

Fax:

Requesting a competitive DISADVANTAGED BUSINESS ENTERPRISE subcontractor bid for:

**Project: Expansion Area 2A Wastewater System
Improvements Contract 2-Force Main**

Location: Lexington, KY

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Signature – In Writing

Signature – Typed or Written

Date

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Smith Contractors, Inc., P.O. Box 480, Lawrenceburg, KY 40342 502-839-4196

Billy Holiday

From: Billy Holiday <bh@sci82.com>
Sent: Monday, October 22, 2012 2:54 PM
To: bobosmer@bellsouth.net
Subject: Expansion Area 2A Wastewater System Improvements Contract 2-Force Main
Attachments: Professional Fence.pdf

Attached is RFQ for above project.

Regards,
Billy Holiday
Smith Contractors, Inc.
502-839-4196
502-839-8348 fax

SMITH CONTRACTORS, INC.

***P.O. Box 480
1241 Bypass North
Lawrenceburg, KY 40342***

***502 -839-4196
502-839-8348 – Fax #***

October 22, 2012

Professional Fence Co.
P.O. Box 140
Crestwood, KY 40014
Fax: email: bobosmer@bellsouth.net

Re: Expansion Area 2A Wastewater System Improvements Contract 2-Force Main
Lexington, KY

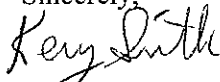
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Sincerely,



Kerry Smith
President

Attachment

Subcontractor: Professional Fence Co.

Fax:

Requesting a competitive DISADVANTAGED BUSINESS ENTERPRISE subcontractor bid for:

**Project: Expansion Area 2A Wastewater System
Improvements Contract 2-Force Main**

Location: Lexington, KY

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____ **NO**, I am not interested in submitting a DISADVANTAGED BUSINESS ENTERPRISE Subcontractor Proposal for this project.

Signature – In Writing

Signature – Typed or Written

Date

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Smith Contractors, Inc., P.O. Box 480, Lawrenceburg, KY 40342 502-839-4196

Smith Contractors, Inc is an Equal Opportunity Employer

Billy Holiday

From: Billy Holiday <bh@sci82.com>
Sent: Wednesday, November 07, 2012 9:20 AM
To: Tom Trowbridge (tom@kvanaseismic.com)
Subject: Expansion Area 2A - Lexington, KY
Attachments: EPA Form 6100-3.pdf

Hi Tom, please fill-out and return the attached EPA Form 6100-3. All boxes marked with 'X' need to be completed.

Regards,
Billy Holiday
Smith Contractors, Inc.
502-839-4196
502-839-8348 fax

OMB Control No: 2090-0030
 Approved: 05/01/2008
 Approval Expires: 01/31/2011

Environmental
 Protection Agency

Disadvantaged Business Enterprise Program
 DBE Subcontractor Performance Form

NAME OF SUBCONTRACTOR' <input checked="" type="checkbox"/> Kentuckiana Seismic & Survey, Inc.		PROJECT NAME Expansion Area 2A Wastewater System Improvements Contract 2 - Force Main
ADDRESS 1300 Gardiner Lane Louisville, KY		BID/PROPOSAL NO. LFUCG Bid No. 155-2012
TELEPHONE NO. <input checked="" type="checkbox"/> 502 384 0337	40213	E-MAIL ADDRESS
PRIME CONTRACTOR NAME <input checked="" type="checkbox"/> Smith Contractors, Inc.		
CONTRACT ITEM NO.	ITEM OF WORK OR DESCRIPTION OF SERVICES BID TO PRIME	PRICE OF WORK SUBMITTED TO PRIME CONTRACTOR
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/> Third Party Seismic Monitoring Pre-blast Surveys Pre-construction Video 5,300 lf	<input checked="" type="checkbox"/> \$550.00/mo. \$4611.00 \$635.00
Currently certified as an MBE or WBE under EPA's DBE Program? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>		
Signature of Prime Contractor Kerry Smith		Date 11-15-12
Print Name Kerry Smith		Title President
Signature of Subcontractor <input checked="" type="checkbox"/> Ann Mattingly <small>Digitally signed by Ann Mattingly DN: cn=Ann Mattingly, o=Kentuckiana Seismic & Survey, Inc., ou, email=ann@kyanaseismic.com, c=US Date: 2012.11.08 07:47:40 -05'00'</small>		Date <input checked="" type="checkbox"/> 11-8-12
Print Name <input checked="" type="checkbox"/> Ann Mattingly		Title <input checked="" type="checkbox"/> President

*Subcontractor is defined as a company, firm, joint venture, or individual who enters into an agreement with a contractor to provide services pursuant to an EPA award of financial assistance.



1300 Gardiner Lane Suite #7
Louisville, KY. 40213
tom@kvanaseismic.com

Office 502-384-0337
Fax 502-384-0367
Cell 502-558-1994

October 24, 2012

RE: Expansion Area 2A Wastewater System Improvements Contract 2 Force Main LFUCG

These are our prices and structure locations for the pre-blast surveys and 3rd party seismic monitoring, along with pre-construction video.

9, 2 story residential homes on Call Drive

3 story Travelodge

5 story Baymont Inn

Treatment plant off Elkhorn Road

Residential home on Hume Road

Church of Christ on Hume Road

The cost for these services will be \$4,611.00

If there is a need to add or drop a structure the above price will be adjusted.

This price includes all over-time, drive-time, mileage, meals, and motels.

These prices also include all barns, out buildings, and garages located on that property.

Third Party Monitoring Program for construction sites:

Price: \$ 550.00 per seismograph, per month, flat rate or

Price: \$200.00 per seismograph, per week.

This price includes the following:

1. White Seismographs on 3G network modem.
2. Security box with all equipment needed.
3. Detailed monthly report.
4. If and when you need any of the units relocated we will do this at no charge.
5. Consultation with businesses and or homeowners to install these units.

Reports with Photographs / CD:

In the event your company or your insurance carrier should need a pre-blast survey report sent to you, there will only be a \$0.00 service charge. This will include our report, and all photographs burned on CD.

In this manner all of the photos can be zoomed in on for close-up viewing of any and all areas in question. The photographs will display dates and a numbered sequence.

Pre-Construction Video

Price: \$635.00 for 5,300 lf

This price includes three DVD copies with index sheets.



Any additional copies on DVD are \$25.00 per disc.

**WE ARE AUTHORIZED DISTRIBUTORS AND EXCLUSIVE USERS OF WHITE INDUSTRIAL SEISMOLOGY
(SINCE 1955)**

Please feel free to check out and / or download free seismic software and view our equipment at
www.whiteseis.com

Insured & Bonded:

Kentuckiana Seismic & Survey, Inc. holds both Liability, and Errors & Omissions insurance policies. We also (if needed) can be bonded on projects we are working on.

Please visit our website at <http://www.kyanaseismic.com/>

Sincerely,

Kentuckiana Seismic & Survey, Inc.



Tom Trowbridge

Vice President



RCSE9510

Certification Number

June 14, 2013

Expiration Date



NATIONAL WOMEN BUSINESS OWNERS CORPORATION

Certifies that:

Kentuckiana Seismic & Survey, Inc.

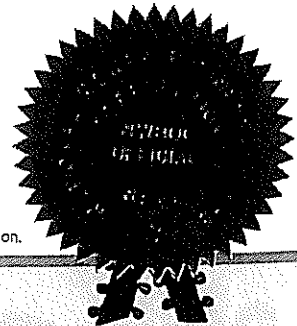
has successfully met the requirements of the NWBOC National Certification Program for certification as a woman-owned and woman-controlled business.

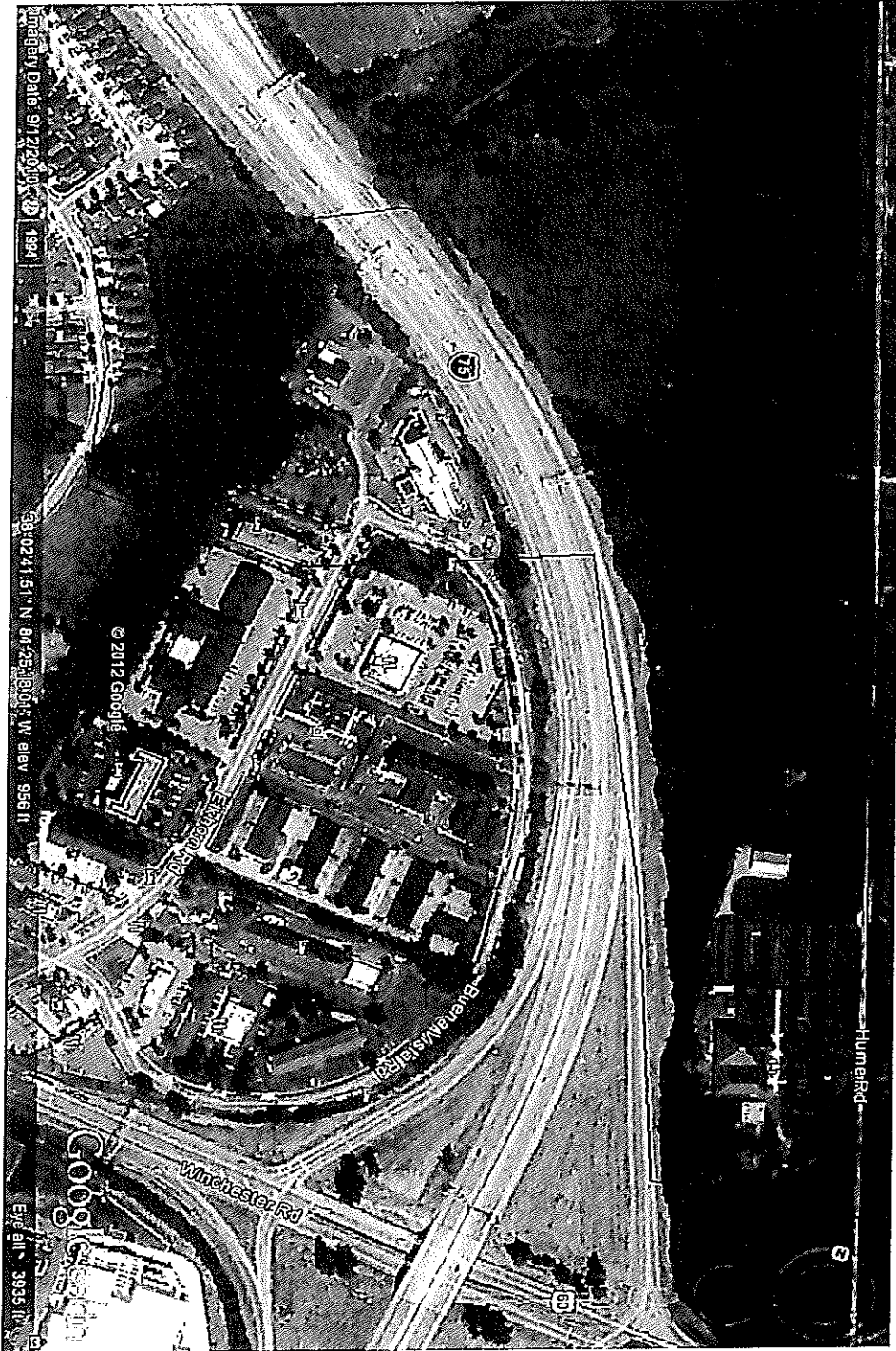
Janet Harris Lunge
President

~~June 15, 2012~~
Date

NAICS Code(s): 541990, 541360

NWBOC, 1001 W. Jasmine Dr., #G, Lake Park, FL 33403 • 800-675-5066 • www.nwboc.org
Tampering or altering this certificate is, in the discretion of NWBOC, grounds for termination of certification.





NWBOC®
WBE CERTIFIED



Billy Holiday

UNSOLICITED

From: Billy Holiday <bh@sci82.com>
Sent: Wednesday, November 07, 2012 10:08 AM
To: 'msweeney@ucdg.com'
Subject: Expansion Area 2A - Lexington, KY
Attachments: EPA Form 6100-3.pdf

Hi Jerry, please fill-out and return the attached EPA Form 6100-3. All boxes marked with 'X' need to be completed

Regards,
Billy Holiday
Smith Contractors, Inc.
502-839-4196
502-839-8348 fax

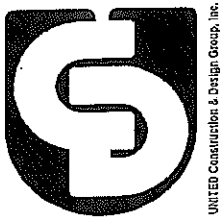
OMB Control No: 2090-0030
Approved: 05/01/2008
Approval Expires: 01/31/2011

Environmental
Protection Agency

Disadvantaged Business Enterprise Program
DBE Subcontractor Performance Form

NAME OF SUBCONTRACTOR <i>X UNITED CONST & DESIGN/DBE</i>		PROJECT NAME Expansion Area 2A Wastewater System Improvements Contract 2 - Force Main
ADDRESS <i>X 4637 ILLINOIS AVE LOUISVILLE KY 40213</i>		BID/PROPOSAL NO. LFUCG Bid No. 155-2012
TELEPHONE NO. <i>X 502-451-3388</i>		E-MAIL ADDRESS <i>X JSMOLTERS@UCDB.COM</i>
PRIME CONTRACTOR NAME Smith Contractors, Inc.		
CONTRACT ITEM NO.	ITEM OF WORK OR DESCRIPTION OF SERVICES BID TO PRIME	PRICE OF WORK SUBMITTED TO PRIME CONTRACTOR
<i>X 155-2012</i>	<i>X SURVEY/LAYOUT</i>	<i>X \$5900.00</i>
Currently certified as an MBE or WBE under EPA's DBE Program? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <i>FHWA</i>		
Signature of Prime Contractor <i>Kerry Smith</i>		Date 11-15-12
Print Name Kerry Smith		Title President
Signature of Subcontractor <i>X Maurice M Sweeney</i>		Date <i>X 11/7/12</i>
Print Name Maurice M Sweeney		Title <i>X President</i>

Subcontractor is defined as a company, firm, joint venture, or individual who enters into an agreement with a contractor to provide services pursuant to an EPA award of financial assistance.



United Construction & Design Group, Inc.

Tel: 502-451-3388

Fax: 502-451-3328

FACSIMILE COVER PAGE

To: Smith Contractors Inc.	From: Jerrold H. Sanders, PLS
Fax #: 15028398348	Fax #: 502-451-3328
Company: Smith Contractors Inc.	Tel #: 502-451-3388

Subject: Lexington-Fayette F/M

Sent: 11/5/2012 at 7:53:38 AM

Pages: 2 (including cover)

MESSAGE:

Thanks
Jerry

United Construction & Design Group, Inc.
 4637 Illinois Avenue
 Louisville, KY 40213
 Phone:451-3388 Fax:451-3328

Estimate

Date	Estimate #
11/15/2012	506

Survey Layout for

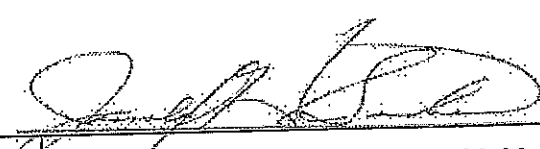


Surveyors

MBE Certified by
KYDOT

Lexington-Fayette Urban County
Area 2-A Contract Expansion
Force Main

msweeney@ucdg.com

Project
Lexington-Fayette F/M
Description
Stake force main at 100' stations (alignment only) Required Data Entry Note: 1. Requires Horizontal and Vertical control to be provided by the design engineer. 2. Requires detailed Construction Drawings and Auto Cad File or equivalent. 3. Does not include staking of any clearing limits, construction easements, temporary easements, or permanent easements. Rates for changes, additions and re-stake: Two man field crew robotic \$150.00/hr Office Data Entry/Analysis \$75.00/hr Note: This is a prevailing wage proposal
 Total
\$5,900.00