

**PRE-AWARD SURVEY OF  
PROSPECTIVE CONTRACTOR  
(FINANCIAL CAPABILITY)**

SERIAL NUMBER *(For surveying activity use)*

OMB Control Number: 9000-0011  
Expiration Date: 1/31/2024

PROSPECTIVE CONTRACTOR

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**SECTION I - RECOMMENDATION**

1. RECOMMENDED

- a. COMPLETE AWARD       b. PARTIAL AWARD (Quantity: \_\_\_\_\_)       c. NO AWARD

2. TOTAL OFFERED PRICE

3. NARRATIVE *(Cite those sections of the report which substantiate the recommendation. Give any other backup information in this space or on an additional sheet, if necessary.)*

IF CONTINUATION SHEETS  
ATTACHED - MARK HERE

4. SURVEY MADE BY	a. SIGNATURE	b. TELEPHONE NUMBER <i>(Include area code)</i>	c. DATE SIGNED
	a. SIGNATURE	b. TELEPHONE NUMBER <i>(Include area code)</i>	c. DATE REVIEWED
5. SURVEY REVIEWING OFFICIAL	a. SIGNATURE	b. TELEPHONE NUMBER <i>(Include area code)</i>	c. DATE REVIEWED

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**STANDARD FORM 1407 (REV. 1/2014)**  
Prescribed by GSA - FAR (48 CFR) 53.209-1(e)

**SECTION II - GENERAL**

1. TYPE OF COMPANY <input type="checkbox"/> CORPORATION <input type="checkbox"/> PARTNERSHIP <input type="checkbox"/> SUBSIDIARY <input type="checkbox"/> DIVISION <input type="checkbox"/> PROPRIETORSHIP <input type="checkbox"/> OTHER ( <i>Specify</i> )	3. NAME AND ADDRESS OF: a. PARENT COMPANY <hr/> b. SUBSIDIARIES
2. YEAR ESTABLISHED:	

**SECTION III - BALANCE SHEET/PROFIT AND LOSS STATEMENT**

PART A - LATEST BALANCE SHEET			PART B - LATEST PROFIT AND LOSS STATEMENT		
1. DATE	2. FILED WITH		1. CURRENT PERIOD		2. FILED WITH
			a. FROM	b. TO	
3. FINANCIAL POSITION			3. NET SALES	a. CURRENT PERIOD	\$
a. Cash	\$			b. First prior fiscal year	
b. Accounts Receivable			c. Second prior fiscal year		
c. Inventory			4. NET PROFITS BEFORE TAXES	a. CURRENT PERIOD	\$
d. Other Current Assets				b. First prior fiscal year	
e. Total Current Assets				c. Second prior fiscal year	
f. Fixed Assets			PART C - OTHER		
g. Current Liabilities			1. FISCAL YEAR ENDS ( <i>Date</i> ):		
h. Long Term Liabilities			2. BALANCE SHEETS AND PROFIT AND LOSS STATEMENTS HAVE BEEN CERTIFIED  a. THROUGH ( <i>Date</i> ) b. BY ( <i>Signature</i> )		
i. Total Liabilities					
j. Net Worth			3. OTHER PERTINENT DATA		
4. WORKING CAPITAL ( <i>Current Assets less Current Liabilities</i> )					
5. RATIOS					
a. CURRENT ASSETS TO CURRENT LIABILITIES	b. ACID TEST ( <i>Cash, temporary investments held in lieu of cash and current receivables to current liabilities</i> )	c. TOTAL LIABILITIES TO NET WORTH			

**SECTION IV - PROSPECTIVE CONTRACTOR'S FINANCIAL ARRANGEMENTS**

Mark "X" in appropriate column.	YES	NO	4. INDEPENDENT ANALYSIS OF FINANCIAL POSITION SUPPORTS THE STATEMENTS SHOWN IN ITEMS 1, 2, AND 3		
1. USE OF OWN RESOURCES			<input type="checkbox"/> YES <input type="checkbox"/> NO ( <i>If "NO", explain</i> )		
2. USE OF BANK CREDITS					
3. OTHER ( <i>Specify</i> )					

**SECTION V - GOVERNMENT FINANCIAL AID**

1. TO BE REQUESTED IN CONNECTION WITH PERFORMANCE OF PROPOSED CONTRACT	2. EXPLAIN ANY "YES" ANSWERS TO ITEMS 1a, b, AND c.				
Mark "X" in appropriate column.	YES	NO			
a. PROGRESS PAYMENT(S)					
b. GUARANTEED LOAN					
c. ADVANCE PAYMENTS					
3. FINANCIAL AID CURRENTLY OBTAINED FROM THE GOVERNMENT					
a. PROSPECTIVE CONTRACTOR RECEIVES GOVERNMENT FINANCING AT PRESENT <input type="checkbox"/> YES <input type="checkbox"/> NO	Complete items below only if item a., is marked "YES."				
	b. IS LIQUIDATION CURRENT?	c. AMOUNT OF UNLIQUIDATED PROGRESS PAYMENTS OUTSTANDING	DOLLAR AMOUNTS	(a) AUTHORIZED	(b) IN USE
			a. Guaranteed loans	\$	\$
			b. Advance payments	\$	\$
4. LIST THE GOVERNMENT AGENCIES INVOLVED			5. SHOW THE APPLICABLE CONTRACT NUMBERS		

**SECTION VI - BUSINESS AND FINANCIAL REPUTATION**

1. COMMENTS OF PROSPECTIVE CONTRACTOR'S BANK

2. COMMENTS OF TRADE CREDITORS

3. COMMENTS AND REPORTS OF COMMERCIAL FINANCIAL SERVICES AND CREDIT ORGANIZATIONS (Such as, Dun & Bradstreet, Standard and Poor's, etc.)

4. MOST RECENT CREDIT RATING	a. DATE	b. BY
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5. DOES PRICE APPEAR UNREALISTICALLY LOW?       YES       NO (If Yes, explain in Section I NARRATIVE)

6. DESCRIBE ANY OUTSTANDING LIENS OR JUDGEMENTS

**SECTION VII - SALES (000'S) FOR NEXT SIX QUARTERS**

CATEGORY	1	2	3	4	5	6	TOTAL
1. CURRENT CONTRACT SALES (Backlog)	\$	\$	\$	\$	\$	\$	\$
A. GOVERNMENT (Prime & Subcontractor)							
B. COMMERCIAL							
2. ANTICIPATED ADDITIONAL SALES							
A. GOVERNMENT (Prime & Subcontractor)							
B. COMMERCIAL							
3. TOTALS							