



ANNUAL OFFEROR REGISTRATION DATA, REPRESENTATIONS AND CERTIFICATIONS

Refs: Code of Federal Regulations (CFR);
Federal Acquisition Regulation (FAR);
Department of Defense FAR Supplement
(DFARS); et al.

Offeror: Zivko Aeronautics, Inc. (ZAI) must gather and maintain certain registration data from all **Offerors**. ZAI must also gather additional representations and certifications from **Offerors** who do (or want to) provide goods or services in support of a U.S. Government (USG) contract. This form is designed to efficiently and effectively gather both the required registration information and, when applicable, the additional representations and certifications.

(1) **All Offerors**, regardless of business size, solicitation type or dollar amount, must complete **Section A.1.** and **Section C** in their entirety.

(a) In addition to Section A.1. and Section C, **all Foreign Offerors** must also complete **Section A.2**;

(b) In addition to Section A.1. and Section C, **all Small Business Offerors** must also complete **Section A.3**;

and

(2) Any **Offerors** who do (or want to) provide ZAI with goods or services in support of a USG contract must also complete **Section B**.

Note: Some of the certifications and representations herein are similar to those solicited via the USG's representations and certifications database (e.g., SAM.gov). However, an **Offeror's** USG representations and certifications may not be used in lieu of this form. Additionally, certain other solicitation-specific and procurement-specific policies and procedures may require additional representations and certifications from **Offeror**.

Section A.1.: Substitute W-9 Form (Offeror Registration)

A.1. Part I: Business Name and Address

Business Name:

Remit Name (if different from business name):

DBA or Division (if applicable)

Address (Number, Street, Apt. or Suite):

Remit to Address (PO Box or Street Address):

City, County and State:

City, County and State:

Country:

Zip+4 or Postal Code:

Country:

Zip+4 or Postal Code:

Telephone:

Facsimile:

Telephone:

Facsimile:

Email:

Email:

A.1. Part II: Foreign Account Tax Compliance Act (FATCA) Exemptions and Federal Tax Identification Number (TIN): Employer Identification Number (EIN) or Social Security Number (SSN)

☐ **Offeror** is a Foreign Person as defined by the Internal Revenue Service (IRS) (**Foreign Offerors:** Proceed to A.1. Part III and also complete A.2.)

OR

- ☐ **Offeror** is a U.S. Person as defined by the IRS, which includes:
- An individual who is a U.S. citizen or U.S. resident alien;
 - A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States;
 - An estate (other than a foreign estate); or
 - A domestic trust (as defined in Regulations section 301.7701-7)

If **Offeror** is a **U.S. Person** as defined by the IRS (see above), enter **Offeror's** TIN:

EIN: – **OR SSN:** – –

FATCA Exemptions (see instructions to Form W-9 available from the IRS at <http://www.irs.gov/pub/irs-pdf/fw9.pdf>):

(a) Exempt payee code (if any) _____

(b) Exemption from FATCA reporting code (if any) _____

Offeror hereby certifies, under penalties of perjury, that:

- ☐ **Offeror** is a U.S. Person as defined by the IRS (see above); **AND**
- ☐ **Offeror's** TIN provided above is correct (or ☐ **Offeror** is waiting for a TIN to be issued); **AND**
- ☐ **Offeror** is not subject to backup withholding because:
- (a) **Offeror** is exempt from backup withholding; or
- (b) **Offeror** has not been notified by the IRS that **Offeror** is subject to backup withholding due to a failure to report all interest or dividends; or
- (c) The IRS has notified **Offeror** that it is no longer subject to backup withholding.
- ☐ **Offeror**, if it has entered any FATCA codes indicating that it is exempt from FATCA reporting, has done so correctly.

A.1. Part III: Business Information

- (a) **Offeror:** You must provide your Data Universal Numbering System (DUNS) Number AND your Parent Company's DUNS Number (applicable only if **Offeror** has a Parent Company). DUNS Numbers are issued by Dun & Bradstreet (800) 234-3867:

Offeror's DUNS Number (required):

–

Offeror's Parent Company DUNS Number
(required if applicable):

–

- (b) **Offeror** is ☐ (is not ☐) registered with the U.S. Government's Central Contractor Registration (CCR) database (or any successor USG database; e.g., the System for Award Management at www.SAM.gov).

All **Offerors** registered with the CCR database must provide their assigned 5-character Commercial And Government Entity (CAGE) or NATO Commercial And Government Entity (NCAGE) Code:

☐ CAGE Code: _____ **OR** ☐ NCAGE Code: _____

- (c) Provide **Offeror's** physical business location information:

Business Name:

d/b/a or Division (if applicable)

Offeror's Physical Location Address (Number, Street, Apt. or Suite):

City, County and State:

Congressional District (if applicable)

Country:

Zip+4 or Postal Code:

Telephone:

Facsimile:

- (d) Is **Offeror's** physical business location different from **Offeror's** primary performance location?

☐ Yes ☐ No

If **Yes**, complete (e) and (f), below, before proceeding to (g).

If **No**, **Offeror** is **not** required to answer or complete (e) or (f), below, and should proceed directly to (g).

- (e) Provide **Offeror's** primary performance location information:

Business Name:

d/b/a or Division (if applicable)

Offeror's Physical Location Address (Number, Street, Apt. or Suite):

City, County and State:

Congressional District (if applicable)

Country:

Zip+4 or Postal Code:

Telephone:

Facsimile:

- (f) Does **Offeror** have multiple performance locations in addition to the location provided above?
☐ Yes ☐ No

If **Yes**, **Offeror** acknowledges and agrees to provide ZAI, in **Offeror's** proposal at the time of solicitation, with the actual performance location address applicable to each subcontract or Purchase Order issued by ZAI.

- (g) **Offeror's** Business Status:

☐ Individual / Sole Proprietor ☐ Corporation ☐ Partnership ☐ Trust / Estate
☐ Government Agency ☐ Non-Profit Organization ☐ Private Foundation ☐ Non-US Entity

For Non-Profit Organizations Only

Offeror represents that:

It is organized as a ☐ 501(c)(3) ☐ 501(c)(4) ☐ 501(c)(6) ☐ Other
It ☐ does (☐ does not) engage in lobbying.

- (h) **Offeror's** Business Activity:

☐ Rentals ☐ Royalties ☐ Consultant / Professional Fees ☐ Merchandise (goods) only
☐ Medical / Health Care ☐ Merchandise and Services ☐ Legal Firm / Attorney / Lawyer
☐ Services only

- (i) **Offeror's** Business Type (check only one):

☐ Broker ☐ Construction ☐ Consultant ☐ Distributor ☐ Legal Services
☐ Manufacturing ☐ Service ☐ Software ☐ Testing

- (j) **Offeror** represents and certifies that it is a (check only one):

☐ Large Business **OR** ☐ Non-US Entity **OR** ☐ Small Business, as defined at www.sba.gov, (Small Business **Offerors** must also complete the representations in Section A.3., below);

AND that it falls into one or more of the following business categories (check all that apply):

☐ Woman Owned ☐ Minority Owned ☐ Veteran Owned ☐ Service Disabled Veteran Owned
☐ Native American Indian Owned ☐ Historical Black College/Minority Institution
☐ HUB Zone located ☐ Not Applicable

- (k) **Offeror** further represents that:

It ☐ does (☐ does not) have property accountable to ZAI prime contracts in its possession or control.

- (l) **U.S. Department of State Directorate of Defense Trade Controls ("DDTC") Registration**

Representation (see Code of Federal Regulations Title 22, Part 122 (22 CFR part 122) and Part 129 (22 CFR part 129))

Offeror engages in the business of manufacturing, brokering, or exporting defense articles or furnishing defense services (check only one box):

☐ Yes ☐ No

If **Yes**, does **Offeror** have a current registration on file within the DDTC (check only one box):

☐ Yes ☐ No

If **No**, provide the reason why (22 CFR 122.1(b) and / or 22 CFR 129.6(b)):

CONTINUED**A.1. Part III: Business Information**

(m) **Offeror** is ISO Certified (check only one box): ☐ **Yes** ☐ **No**

If **Yes**, indicate specific ISO Certification(s): _____

If **No**, provide the following:

Quality Manager's name: _____

Quality level: _____

(n) **Offeror's** email address: _____

Section A.2.: Applicable Only to Foreign Offerors

Does the **Offeror** derive any US-source income (reference Table 1, below)?

☐ **Yes** ☐ **No**

If **Yes**, complete both Section A.2 (a) and Section A.2 (b) below.

If **No**, complete Section A.2 (b) below.

(a) ☐ **Offeror** hereby represents or acknowledges that:

(i) **Offeror** is responsible for completing the appropriate Form because

(a) the **Offeror** is the recipient of an amount subject to US withholding tax under Internal Revenue Code (IRC) Section 1441 or 1442 **or**

(b) the **Offeror** is the recipient of US source income that may be subject to FATCA withholding/reporting under IRC Section 1471 through 1474

(Links for Internal Revenue Service forms and instructions are provided below);

(ii) **Offeror** shall submit the completed appropriate W-8 to ZAI prior to award of the Purchase Order; and,

(iii) **Offeror's** income is derived as follows: ____% US Source ____% Foreign (Non-US Source) (reference Table 1 below)

Table 1: Source Rules for Income for Foreign (non-US) Offerors

Income Type	Factor (Locale) Determining Source
Business income: Personal / business/ professional services	Where services are performed
Business income: Sale of inventory – produced	Where produced (Allocation may be necessary)
Rents	Where property is used
Royalties: Patents, copyrights, etcetera.	Where property is used

Form W-8BEN-E (for entities) is available from the IRS here: <http://www.irs.gov/pub/irs-pdf/fw8bene.pdf>

Form W-8BEN-E Instructions are available from the IRS here: <http://www.irs.gov/pub/irs-pdf/iw8bene.pdf>

Form W-8BEN (for individuals) is available from the IRS here: <http://www.irs.gov/pub/irs-pdf/fw8ben.pdf>

Form W-8BEN Instructions are available from the IRS here: <http://www.irs.gov/pub/irs-pdf/iw8ben.pdf>

Form W-8ECI is available from the IRS here: <http://www.irs.gov/pub/irs-pdf/fw8eci.pdf>

Form W-8ECI Instructions are available from the IRS here: <http://www.irs.gov/pub/irs-pdf/iw8eci.pdf>

Form W-8EXP (for exempt payees) is available from the IRS here: <http://www.irs.gov/pub/irs-pdf/fw8exp.pdf>

Form W-8EXP (for flow-through payees) Instructions are available from the IRS here: .. <http://www.irs.gov/pub/irs-pdf/iw8exp.pdf>

Form W-8IMY is available from the IRS here: <http://www.irs.gov/pub/irs-pdf/fw8imy.pdf>

Form W-8IMY Instructions are available from the IRS here: <http://www.irs.gov/pub/irs-pdf/iw8imy.pdf>

Form 8233 (for nonresident aliens) is available from the IRS here: <http://www.irs.gov/pub/irs-pdf/f8233.pdf>

Form 8233 Instructions are available from the IRS here: <http://www.irs.gov/pub/irs-pdf/i8233.pdf>

Form W-4 (for nonresident aliens) is available from the IRS here: <http://www.irs.gov/pub/irs-pdf/fw4.pdf>

CONTINUED A.2: Applicable Only to Foreign Offerors

Form W-4 Instructions are available from the IRS here: <http://www.irs.gov/Individuals/International-Taxpayers/Withholding-Exemptions---Personal-Exemptions---Form-W-4>

(b) **Offeror** represents that the income reported as Non-US Source in either Section A.2 or Section A.2 (a) above, as applicable, is derived from (check all that apply):

☐ Business income from personal / business/ professional services (list where services are performed): _____

☐ Business income from the sale of inventory – produced (list where inventory was sold -- produced): _____

☐ Rents (list where the rental property is used): _____

☐ Royalties from patents, copyrights, etcetera (list where the property producing royalties is used): _____

(c) Has **Offeror** been either a corporation that was incorporated in the United States or a partnership that used to be in the United States?

☐ Yes ☐ No

If **Yes**, is **Offeror** a subsidiary whose parent corporation is incorporated in a foreign (Non-US) country?

☐ Yes ☐ No

Section A.3.: Applicable Only to Small Business Offerors

In addition to the annual representations required by this Section A.3., below:

☐ **Offeror** hereby acknowledges and agrees that it shall certify its business size and, if appropriate, its small business status, by means of a confirming entry in the System for Award Management (SAM) at <https://www.sam.gov/portal/public/SAM/>, and that such entry in SAM.gov shall be current, accurate and complete as of the date of any **Offeror** proposal to ZAI. If **Offeror** fails to check this box, ZAI will not consider **Offeror** to be a small business concern for any potential subcontract or Purchase Order that ZAI may solicit.

☐ **Offeror** hereby acknowledges and agrees that **Offeror's** signature in **Section C, "Authorized Signature of Offeror"**, below, is applicable to all of the representations of **Offeror** set forth in this Section A.3. If **Offeror** fails to check this box, ZAI will not consider **Offeror** to be a small business concern for any potential subcontract or Purchase Order that ZAI may solicit.

A.3.1.: FAR 52.219-1 (OCT 2014) — Small Business Program Representations (TAILORED)

(a)(1) **Offeror** hereby acknowledges and agrees that for each specific future proposal **Offeror** submits to ZAI, in order for ZAI to consider **Offeror** to be a small business concern:

☐ **Offeror** must provide ZAI with the North American Industry Classification System (NAICS) code(s) applicable to that specific proposal in accordance with the requirements of the Small Business Jobs and Credit Act of 2010, as amended; **AND**

☐ **Offeror** must acknowledge said NAICS code(s) by an accompanying authorized signature of **Offeror** in accordance with the requirements of the Small Business Jobs and Credit Act of 2010, as amended.

(2) The Small business size standard that applies to the representations of **Offeror**, below, are as defined by 13 CFR part 121.

(3) The small business size standard for a concern which submits an offer in its own name, other than on a construction or service contract, but which proposes to furnish a product which it did not itself manufacture, is 500 employees.

(b) Representations:

- (1)
- Offeror**
- represents that it
- ☐
- is (
- ☐
- is not) a small business concern:

NAICS Code: Description:

Small Business Concern (Yes or No):

_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

- (2)
- Offeror**
- : If you represent yourself as a small business concern in paragraph (b)(1) of this provision, above, indicate whether you
- ☐
- are (
- ☐
- are not) a small disadvantaged business concern as defined in 13 CFR 124.1002.

- (3)
- Offeror**
- : If you represent yourself as a small business concern in paragraph (b)(1) of this provision, above, represent whether you
- ☐
- are (
- ☐
- are not) a women-owned small business concern.

NAICS Code: Description:

Small Business Concern (Yes or No):

_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

- (4)
- Offeror**
- : If you represent yourself as a women-owned small business concern in paragraph (b)(3) of this provision, above, represent whether you
- ☐
- are (
- ☐
- are not) a women-owned small business (WOSB).

NAICS Code: Description:

Small Business Concern (Yes or No):

_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

- (5)
- Offeror**
- : If you represent yourself as a small business concern in paragraph (b)(1) of this provision, above, represent whether you
- ☐
- are (
- ☐
- are not) a veteran-owned small business concern.

NAICS Code: Description:

Small Business Concern (Yes or No):

_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

- (6)
- Offeror**
- : If you represent yourself as a veteran-owned small business concern in paragraph (b)(5) of this provision, above, represent whether you
- ☐
- are (
- ☐
- are not) a service-disabled veteran-owned small business concern.

NAICS Code: Description:

Small Business Concern (Yes or No):

_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

- (7) **Offeror:** If you represent yourself as a small business concern in paragraph (b)(1) of this provision, above, represent whether you:
- (i) ☐ are (☐ are not) a HUBZone small business concern listed, on the date of this representation, on the List of Qualified HUBZone Small Business Concerns maintained by the United States Small Business Administration (SBA), and no material changes in ownership and control, principal office, or HUBZone employee percentage have occurred since it was certified in accordance with 13 CFR part 126; **and**
 - (ii) ☐ are (☐ are not) a HUBZone joint venture that complies with the requirements of 13 CFR part 126, and the representation in paragraph (b)(8)(i) of this provision is accurate for the HUBZone small business concern participating in the joint venture. **Offeror** shall enter the names of each of the HUBZone small business concerns participating in the HUBZone joint venture:

Each HUBZone small business concern participating in the HUBZone joint venture must provide Raytheon with a separate signed copy of the HUBZone representation.

(c) **Definitions.** As used in this provision –

- (1) “Economically disadvantaged women-owned small business (EDWOSB) concern” means a small business concern that is at least 51 percent directly and unconditionally owned by, and the management and daily business operations of which are controlled by, one or more women who are citizens of the United States and who are economically disadvantaged in accordance with 13 CFR part 127. It automatically qualifies as a women-owned small business concern eligible under the WOSB Program.
- (2) “Service-disabled veteran-owned small business concern” means a small business concern –
 - (i) Not less than 51 percent of which is owned by one or more service-disabled veterans or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more service-disabled veterans; **and**
 - (ii) The management and daily business operations of which are controlled by one or more service-disabled veterans or, in the case of a service-disabled veteran with permanent and severe disability, the spouse or permanent caregiver of such veteran.
- (3) “Service-disabled veteran” means a veteran, as defined in 38 U.S.C. 101(2), with a disability that is service-connected, as defined in 38 U.S.C. 101(16).
- (4) “Small business concern” means a concern, including its affiliates, that is independently owned and operated, not dominant in the field of operation in which it is bidding on Raytheon subcontracts, and qualified as a small business under the criteria in 13 CFR part 121 and the size standard in paragraph (a) of this provision.
- (5) “Small disadvantaged business concern, consistent with 13 CFR 124.1002,” means a small business concern under the size standard applicable to the acquisition, that --
 - (a) Is at least 51 percent unconditionally and directly owned (as defined at 13 CFR 124.105) by --
 - (i) One or more socially disadvantaged (as defined at 13 CFR 124.103) and economically disadvantaged (as defined at 13 CFR 124.104) individuals who are citizens of the United States, and
 - (ii) Each individual claiming economic disadvantage has a net worth not exceeding \$750,000 after taking into account the applicable exclusions set forth at 13 CFR 124.104(c)(2); and
 - (b) The management and daily business operations of which are controlled (as defined at 13 CFR 124.106) by individuals who meet the criteria in paragraph (a) of this definition.
- (6) “Veteran-owned small business concern” means a small business concern –
 - (i) Not less than 51 percent of which is owned by one or more veterans (as defined at 38 U.S.C. 101(2)) or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more veterans; **and**

CONTINUED **A.3.1.: FAR 52.219-1 (OCT 2014) — Small Business Program Representations (TAILORED)**

- (ii) The management and daily business operations of which are controlled by one or more veterans.
- (7) “Women-owned small business concern” means a small business concern –
 - (i) That is at least 51 percent owned by one or more women; or, in the case of any publicly owned business, at least 51 percent of the stock of which is owned by one or more women; **and**
 - (ii) Whose management and daily business operations are controlled by one or more women.
- (d) **Notice Regarding Misrepresentations.** Under 15 U.S.C. 645(d), any person who misrepresents a firm’s status as a business concern that is small, HUBZone small, small disadvantaged, service-disabled veteran-owned small, economically disadvantaged women owned small, or women-owned small eligible under the WOSB Program in order to obtain a subcontract or Purchase Order pursuant to the Small Business Act or any other provision of Federal law, may be subject to penalties and remedies imposed by the United States Government as described below–
 - (1) Be punished by imposition of fine, imprisonment, or both;
 - (2) Be subject to administrative remedies, including suspension and debarment; **and**
 - (3) Be ineligible for participation in programs conducted under the authority of the Act.

A.3.2.: FAR 52.219-1 Alternate I (MAY 2014) — Small Business Program Representations

If **Offeror** represented itself as a small disadvantaged business concern in Section A.3.1.(b)(2), above, indicate the category in which **Offeror’s** ownership falls.

- ☐ Black American.
- ☐ Hispanic American.
- ☐ Native American (American Indians, Eskimos, Aleuts, or Native Hawaiians).
- ☐ Asian-Pacific American (persons with origins from Burma, Thailand, Malaysia, Indonesia, Singapore, Brunei, Japan, China, Taiwan, Laos, Cambodia (Kampuchea), Vietnam, Korea, The Philippines, Republic of Palau, Republic of the Marshall Islands, Federated States of Micronesia, the Commonwealth of the Northern Mariana Islands, Guam, Samoa, Macao, Hong Kong, Fiji, Tonga, Kiribati, Tuvalu, or Nauru).
- ☐ Subcontinent Asian (Asian-Indian) American (persons with origins from India, Pakistan, Bangladesh, Sri Lanka, Bhutan, the Maldives Islands, or Nepal).
- ☐ Individual/concern, other than one of the preceding.

Section B: Additional Representations and Certifications Required for Work Under U.S. Government Prime Contracts

B.1. FAR 52.203-11 (SEP 2007) — Certification and Disclosure Regarding Payments to Influence Certain Federal Transactions

- ☐ **Offeror’s designated representative hereby certifies that he or she has read and understands (a)-(e), below.**
- (a) Definitions. As used in this provision—“Lobbying contact” has the meaning provided at 2 U.S.C. 1602(8). The terms “agency,” “influencing or attempting to influence,” “officer or employee of an agency,” “person,” “reasonable compensation,” and “regularly employed” are defined in the FAR clause of the solicitation entitled “Limitation on Payments to Influence Certain Federal Transactions” (52.203-12).
- (b) Prohibition. The prohibition and exceptions contained in the FAR clause of the solicitation entitled “Limitation on Payments to Influence Certain Federal Transactions” (52.203-12) are hereby incorporated by reference in this provision.
- (c) Certification. Offeror, certifies to the best of its knowledge and belief that no 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

CONTINUED**B.1.: FAR 52.203-11 (SEP 2007) — Certification and Disclosure Regarding Payments to Influence Certain Federal Transactions**

Member of Congress on its behalf in connection with the awarding of a subcontract or Purchase Order, or the prime contract it is awarded under.

- (d) Disclosure. If any registrants under the Lobbying Disclosure Act of 1995 have made a lobbying contact on behalf of Offeror with respect to a subcontract or Purchase Order, or the prime contract it is awarded under, Offeror shall complete and submit, with its offer, OMB Standard Form LLL, Disclosure of Lobbying Activities, to provide the name of the registrants. Offeror need not report regularly employed officers or employees of Offeror to whom payments of reasonable compensation were made.
- (e) Penalty. Submission of this certification and disclosure is a prerequisite for making or entering into a subcontract or Purchase Order imposed by 31 U.S.C. 1352. Any person who makes an expenditure prohibited under FAR 52.203-11 or who fails to file or amend the disclosure required to be filed or amended by FAR 52.203-11, shall be subject to a civil penalty of not less than \$10,000, and not more than \$100,000, for each such failure.

B.2.1. FAR 52.204-10 (JUL 2013) — Reporting Executive Compensation and First-Tier Subcontract Awards

Offeror: If a subcontract or Purchase Order award to **Offeror** has an expected value of \$25,000 or more in support of a prime contract, ZAI must, subject to certain exceptions, gather and publicly report information regarding the award in accordance with FAR 52.204-10.

Has **Offeror** had gross income under \$300,000 in the previous tax year?

☐ **Yes** ☐ **No**

If **Yes**, **Offeror** is **not** required to complete Section B.2.2., below, and should proceed directly to Section B.3.

If **No**, **Offeror** must proceed to Section B.2.2., below, before continuing to Section B.3.

B.2.2. Total Compensation of Offeror's Executives

- (a) Definitions. As used in this provision—"Executive" means officers, managing partners, or any other employees in management positions of **Offeror**. "First-tier subcontract" means a subcontract or Purchase Order awarded directly by Raytheon to **Offeror** to furnish supplies or services (including construction) for performance of a prime contract. "Total Compensation" means the cash and noncash dollar value earned by the Executive during **Offeror's** preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):
 - (1) Salary and bonus.
 - (2) Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Financial Accounting Standards Board's Accounting Standards Codification (FASB ASC) 718, Compensation-Stock Compensation.
 - (3) Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of Executives, and are available generally to all salaried employees.
 - (4) Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
 - (5) Above-market earnings on deferred compensation which is not tax-qualified.
 - (6) Other compensation, if the aggregate value of all such other compensation (e.g., severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the Executive exceeds \$10,000.

- (b) In **Offeror's** preceding fiscal year, did **Offeror** receive 80 percent or more of its annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants), cooperative agreements, and other forms of Federal financial assistance?

☐ **Yes** ☐ **No**

If **Yes**, proceed to (c), below.

If **No**, **Offeror** is not required to complete the remainder of this Section B.2.2. and may proceed directly to Section B.3.

- (c) In **Offeror's** preceding fiscal year, did **Offeror** receive \$25,000,000 or more in annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants), cooperative agreements, and other forms of Federal financial assistance?

☐ **Yes** ☐ **No**

If **Yes**, proceed to (d), below

If **No**, **Offeror** is not required to complete the remainder of this Section B.2.2. and may proceed directly to Section B.3.

- (d) Does the public have access to information about the compensation of the Executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986? (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)

☐ **Yes** ☐ **No**

If **Yes**, **Offeror** is not required to complete the remainder of this Section B.2.2. and may proceed directly to Section B.3.

If **No**, proceed to (e), below

- (e) **Offeror** must provide in the space below the names and Total Compensation of each of **Offeror's** five most highly compensated Executives for **Offeror's** completed fiscal year preceding the date specified in Section C below. If ZAI awards **Offeror** a subcontract or Purchase Order, **Offeror** shall update the information in this Section B.2.2 for **Offeror's** fiscal year preceding the date of award of such subcontract or Purchase Order:

Executive Name:

Executive Total Compensation:

(1) _____	_____
(2) _____	_____
(3) _____	_____
(4) _____	_____
(5) _____	_____

- (f) ☐ **Offeror** hereby acknowledges and agrees that **Offeror** shall, at the time of a subcontract award that is subject to 52.204-10, provide ZAI the Offeror's applicable and current information which ZAI is required by law to report to the US Government and which information will be made available to the public.

B.3. FAR 52.209-5 (APR 2010) — Certification Regarding Responsibility Matters

Offeror: Read each provision, below, and check the appropriate box where required.

- (a)(1) **Offeror** certifies, to the best of its knowledge and belief, that –

- (i) **Offeror** and/or any of its Principals –

- (A) ☐ Are (☐ Are not) presently debarred, suspended, proposed for debarment, or declared ineligible for the award of contracts by any Federal agency;

- (B) ☐ Have (☐ Have not), within a three-year period preceding this offer, 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) contract or subcontract; violation of Federal or State antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, violating Federal criminal tax laws, or receiving stolen property (if **Offeror** checks "have", see also FAR 52.209-7);
- (C) ☐ Are (☐ Are not) presently indicted for, or otherwise criminally or civilly charged by a governmental entity with, commission of any of the offenses enumerated in paragraph (a)(1)(i)(B) of this provision; and
- (D) ☐ Have (☐ Have not), within a three-year period preceding this offer, been notified of any delinquent Federal taxes in an amount that exceeds \$3,000 for which the liability remains unsatisfied.

(1) Federal taxes are considered delinquent if both of the following criteria apply:

- (i) The tax liability is finally determined. The liability is finally determined if it has been assessed. A liability is not finally determined if there is a pending administrative or judicial challenge. In the case of a judicial challenge to the liability, the liability is not finally determined until all judicial appeal rights have been exhausted.
- (ii) The taxpayer is delinquent in making payment. A taxpayer is delinquent if the taxpayer has failed to pay the tax liability when full payment was due and required. A taxpayer is not delinquent in cases where enforced collection action is precluded.

(2) Examples:

- (i) The taxpayer has received a statutory notice of deficiency, under Internal Revenue Code (I.R.C.) section 6212, which entitles the taxpayer to seek Tax Court review of a proposed tax deficiency. This is not a delinquent tax because it is not a final tax liability. Should the taxpayer seek Tax Court review, this will not be a final tax liability until the taxpayer has exercised all judicial appeal rights.
- (ii) The IRS has filed a notice of Federal tax lien with respect to an assessed tax liability, and the taxpayer has been issued a notice under I.R.C. section 6320 entitling the taxpayer to request a hearing with the IRS Office of Appeals contesting the lien filing, and to further appeal to the Tax Court if the IRS determines to sustain the lien filing. In the course of the hearing, the taxpayer is entitled to contest the underlying tax liability because the taxpayer has had no prior opportunity to contest the liability. This is not a delinquent tax because it is not a final tax liability. Should the taxpayer seek tax court review, this will not be a final tax liability until the taxpayer has exercised all judicial appeal rights.
- (iii) The taxpayer has entered into an installment agreement pursuant to I.R.C. section 6159. The taxpayer is making timely payments and is in full compliance with the agreement terms. The taxpayer is not delinquent because the taxpayer is not currently required to make full payment.
- (iv) The taxpayer has filed for bankruptcy protection. The taxpayer is not delinquent because enforced collection action is stayed under 11 U.S.C. 362 (the Bankruptcy Code).
- (ii) **Offeror** ☐ has (☐ has not) within a three-year period preceding this offer, had one or more contracts terminated for default by any Federal agency.

(2) "Principal" for the purposes of this certification, means officer; director; owner; partner; and, or a person having primary management or supervisory responsibilities within a business entity (e.g., general manager; plant manager; head of a subsidiary, division, or business segment, and similar positions).

This Certification Concerns a Matter Within the Jurisdiction of an Agency of the United States and the Making of a False, Fictitious, or Fraudulent Certification May Render the Maker Subject to Prosecution Pursuant to 18 U.S.C. 1001.

- (b) **Offeror** shall provide immediate written notice to ZAI if, at any time prior to subcontract or Purchase Order award, **Offeror** learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
- (c) A certification that any of the items in paragraph (a) of this provision exists will not necessarily result in withholding of an award under a solicitation. However, the certification will be considered in connection with a determination of Offeror's responsibility. Failure of Offeror to furnish a certification or provide such additional information as requested by ZAI may render Offeror nonresponsible.
- (d) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render, in good faith, the certification required by paragraph (a) of this provision. The knowledge and information of an Offeror is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- (e) The certification in paragraph (a) of this provision is a material representation of fact upon which reliance was placed when making award. If it is later determined that Offeror knowingly rendered an erroneous certification, in addition to other remedies available to ZAI, ZAI may terminate the subcontract or Purchase Order resulting from a solicitation for default.

B.4. FAR 52.209-7 (JUL 2013) — Information Regarding Responsibility Matters

Offeror: Read each provision, below, and check the appropriate box where required:

(a) **Definitions:**

"Administrative proceeding" means a non-judicial process that is adjudicatory in nature in order to make a determination of fault or liability (e.g., Securities and Exchange Commission Administrative Proceedings, Civilian Board of Contract Appeals Proceedings, and Armed Services Board of Contract Appeals Proceedings). This includes administrative proceedings at the Federal and State level but only in connection with performance of a Federal contract or grant. It does not include agency actions such as contract audits, site visits, corrective plans, or inspection of deliverables.

"Federal contracts and grants with total value greater than \$10,000,000" means—

- (1) The total value of all current, active contracts and grants, including all priced options; and
- (2) The total value of all current, active orders including all priced options under indefinite-delivery, indefinite-quantity, 8(a), or requirements contracts (including task and delivery and multiple-award Schedules).

"Principal" means an officer, director, owner, partner, or a person having primary management or supervisory responsibilities within a business entity (e.g., general manager; plant manager; head of a division or business segment; and similar positions).

- (b) **Offeror** ☐ has (☐ does not have) current active Federal contracts and grants with total value greater than \$10,000,000.
- (c) If **Offeror** checked "has" in paragraph (b) of this provision, **Offeror** represents that the information it has entered in the Federal Awardee Performance and Integrity Information System (FAPIIS) is current, accurate, and complete as of the date of submission of this form with regard to the following information:
 - (1) Whether **Offeror**, and/or any of its principals, has or has not, within the last five years, in connection with the award to or performance by **Offeror** of a Federal contract or grant, been the subject of a proceeding, at the Federal or State level that resulted in any of the following dispositions:
 - (i) In a criminal proceeding, a conviction.
 - (ii) In a civil proceeding, a finding of fault and liability that results in the payment of a monetary fine, penalty, reimbursement, restitution, or damages of \$5,000 or more.

CONTINUED**B.4. FAR 52.209-7 (JUL 2013) — Information Regarding Responsibility Matters**

- (iii) In an administrative proceeding, a finding of fault and liability that results in—
 - (A) The payment of a monetary fine or penalty of \$5,000 or more; or
 - (B) The payment of a reimbursement, restitution, or damages in excess of \$100,000.
- (iv) In a criminal, civil, or administrative proceeding, a disposition of the matter by consent or compromise with an acknowledgment of fault by the Contractor if the proceeding could have led to any of the outcomes specified in paragraphs (c)(1)(i), (c)(1)(ii), or (c)(1)(iii) of this provision.
- (2) If Offeror has been involved in the last five years in any of the occurrences listed in (c)(1) of this provision, whether Offeror has provided the requested information with regard to each occurrence.
- (d) **Offeror** shall post the information in paragraphs (c)(1)(i) through (c)(1)(iv) of this provision in FAPIIS as required through maintaining an active registration in the System for Award Management database via <https://www.acquisition.gov> (see 52.204-7).

B.5. FAR 52.222-22 (FEB 1999) — Previous Contracts and Compliance Reports

Offeror represents that:

- (a) It ☐ has (☐ has not) participated in a previous contract or subcontract subject to the Equal Opportunity clause of a solicitation;
- (b) It ☐ has (☐ has not) filed all required compliance reports; and
- (c) Representations indicating submission of required compliance reports, signed by proposed subcontractors, will be obtained before subcontract or Purchase Order awards.

B.6. FAR 52.222-25 (APR 1984) — Affirmative Action Compliance

Offeror represents that:

- (a) It ☐ has developed and has on file (☐ has not developed and does not have on file), at each establishment, affirmative action programs required by the rules and regulations of the Secretary of Labor (41 CFR parts 60-1 and 60-2); **OR**
- (b) It ☐ has not previously had contracts or subcontracts subject to the written affirmative action programs requirement of the rules and regulations of the Secretary of Labor.

B.7. FAR 52.222-56 (MAR 2015) Certification Regarding Trafficking in Persons Compliance Plan (TAILORED)

Offeror provides supplies manufactured or acquired outside the United States or services performed outside the United States (check only one box):

☐ **Yes** ☐ **No**

If **Yes**, the following certification may be applicable to the solicitation and procurement and must be agreed to by **Offeror**.

- ☐ **Offeror** hereby certifies before award of any subcontract or Purchase Order (i) for supplies, other than commercially available off-the-shelf items, acquired outside the United States, or services to be performed outside the United States and (ii) has an estimated value that exceeds \$500,000 that:
- (a) Offeror has implemented a compliance plan to prevent any prohibited activities identified in paragraph (b) of the clause at 52.222-50, Combating Trafficking in Persons, and to monitor, detect, and terminate any agent, subcontract or Offeror employee engaging in prohibited activities identified at paragraph (b) of the clause at 52.222-50; and

(b) After having conducted due diligence—

- (1) To the best of the Offeror's knowledge and belief, neither it nor any of its agents, subcontractors, or their agents is engaged in any such activities; **or**
- (2) If abuses relating to any of the prohibited activities identified in 52.222-50 paragraph (b) have been found, the Offeror or its subcontractor has taken the appropriate remedial and referral actions.

Through its acceptance of any such awarded subcontract or Purchase Order, Offeror hereby renews the above certification annually during its performance of such awarded subcontract or Purchase Order, unless Offeror otherwise provides written notice to the contrary to the ZAI representative to whom this document was originally provided.

B.8. Government Property Certification

- ☐ **Offeror** hereby acknowledges the Government Property requirements and represents that all contract property acquired by or in the possession or control of **Offeror** and its subcontractors has been reported to the buying entity.

B.9. DFARS 252.209-7002 (JUN 2010) — Disclosure of Ownership or Control by a Foreign Government (TAILORED)

- ☐ **Offeror** hereby certifies that it has complied with this provision, as stated below, and provided all required disclosures, if any.

(a) **Offeror's** Disclosures (please indicate "N/A" if no disclosures are presently required):

Name of Foreign Government Entity: _____

Address of Entity Controlled by a Foreign Government: _____

Description of Interest: _____

Ownership Percentage: _____

Identification of Foreign Government: _____

(b) **Definitions:**

- (1) "Effectively owned or controlled" means that a foreign government or any entity controlled by a foreign government has the power, either directly or indirectly, whether exercised or exercisable, to control the election, appointment, or tenure of **Offeror's** officers or a majority of **Offeror's** board of directors by any means, e.g., ownership, contract, or operation of law (or equivalent power for unincorporated organizations).

(2) "Entity controlled by a foreign government"—

(i) Means—

(A) Any domestic or foreign organization or corporation that is effectively owned or controlled by a foreign government; **OR**

(B) Any individual acting on behalf of a foreign government.

(ii) Does not include an organization or corporation that is owned, but is not controlled, either directly or indirectly, by a foreign government if the ownership of that organization or corporation by that foreign government was effective before October 23, 1992.

(3) "Foreign government" includes the state and the government of any country (other than the United States and its outlying areas) as well as any political subdivision, agency, or instrumentality thereof.

(4) "Proscribed information" means—

(i) Top Secret information;

- (ii) Communications security (COMSEC) material, excluding controlled cryptographic items when unkeyed or utilized with unclassified keys;
 - (iii) Restricted Data as defined in the U.S. Atomic Energy Act of 1954, as amended;
 - (iv) Special Access Program (SAP) information; **OR**
 - (v) Sensitive Compartmented Information (SCI).
- (c) **Prohibition on Award.** In accordance with DFARS 252.209-7002, no contract under a national security program may be awarded to an entity controlled by a foreign government as defined in (b) (3) of this provision if that entity requires access to proscribed information to perform the contract, unless the Secretary of Defense or a designee has waived application of 10 U.S.C. 2536 (a).
- (d) **Disclosure: Offeror** shall disclose any interest a foreign government has in **Offeror** when that interest constitutes control by a foreign government as defined in DFARS 252.209-7002. If **Offeror** is a subsidiary, it shall also disclose any reportable interest a foreign government has in any entity that owns or controls the subsidiary, including reportable interest concerning **Offeror's** immediate parent, intermediate parents and the ultimate parent. **Offeror** shall provide the information required to be disclosed in the format as set out in Section B.9.(a), above.

B.10. DFARS 252.225-7050 (DEC 2014) — Disclosure of Ownership or Control by the Government of a Country that is a State Sponsor of Terrorism

☐ **Offeror** hereby certifies that it has complied with this provision, as stated below, and provided all required disclosures, if any.

(a) **Definitions:**

- (1) "Government of a country that is a state sponsor of terrorism" includes the state and the government of a country that is a state sponsor of terrorism, as well as any political subdivision, agency, or instrumentality thereof.
 - (2) "Significant interest" means—
 - (i) Ownership of or beneficial interest in 5 percent or more of the firm's or subsidiary's securities. Beneficial interest includes holding 5 percent or more of any class of the firm's securities in "nominee shares," "street names," or some other method of holding securities that does not disclose the beneficial owner;
 - (ii) Holding a management position in the firm, such as a director or officer;
 - (iii) Ability to control or influence the election, appointment, or tenure of directors or officers in the firm;
 - (iv) Ownership of 10 percent or more of the assets of a firm such as equipment, buildings, real estate, or other tangible assets of the firm; **or**
 - (v) Holding 50 percent or more of the indebtedness of a firm.
 - (3) "State sponsor of terrorism" means a country determined by the Secretary of State, under section 6(j)(1)(A) of the Export Administration Act of 1979 (50 U.S.C. App. 2405(j)(i)(A)), to be a country the government of which has repeatedly provided support for acts of international terrorism. As of the date of this provision, state sponsors of terrorism include: Cuba, Iran, Sudan, and Syria.
- (b) **Prohibition on award.** In accordance with 10 U.S.C. 2327, unless a waiver is granted by the Secretary of Defense, no contract may be awarded to a firm if the government of a country that is a state sponsor of terrorism owns or controls a significant interest in—
- (1) The firm;
 - (2) A subsidiary of the firm; **or**
 - (3) Any other firm that owns or controls the firm.

CONTINUED**B.10. DFARS 252.225-7050 (DEC 2014) — Disclosure of Ownership or Control by the Government of a Country that is a State Sponsor of Terrorism**

(c) **Representation.** Unless the Offeror submits with its offer the disclosure required in paragraph (d) of this provision, the Offeror represents, by submission of its offer, that the government of a country that is a state sponsor of terrorism does not own or control a significant interest in –

- (1) The Offeror;
- (2) A subsidiary of the Offeror; **or**
- (3) Any other firm that owns or controls the Offeror.

(d) **Disclosure.**

- (1) **Offeror** shall disclose in an attachment to its offer if the government of a country that is a state sponsor of terrorism owns or controls a significant interest in the Offeror; a subsidiary of the Offeror; or any other firm that owns or controls the Offeror.
- (2) The disclosure shall include—
 - (i) Identification of each government holding a significant interest; **and**
 - (ii) A description of the significant interest held by each government.

Section C: Authorized Signature of Offeror

Note: The Internal Revenue Service does not require **Offeror's** consent to any provision of this document other than the certifications in Section A.1 Parts I and II.

Certification of Offeror or Offeror's Authorized Representative:

By submitting this information, I am attesting to the accuracy of the information contained herein. I understand that I may be subject to penalties imposed by the United States Government if I misrepresent any of the representations or certifications herein. **Offeror** further acknowledges that ZAI shall rely on the information provided by **Offeror** herein and that if any of **Offeror's** representations herein change during the period of performance, **Offeror** shall provide immediate written notice to the ZAI representative to whom this document was originally provided.

Signature of **Offeror** or **Offeror's** Authorized Representative

Printed Name and Title of Above Signatory

Date: _____

Offeror Firm/Company Name

Address: _____

Telephone: _____

Facsimile: _____

Email: _____