

Supplier REPS and Certifications

ALL SUPPLIERS THAT HAVE NOT REGISTERED THEIR REPRESENTATIONS AND CERTIFICATIONS IN THE US GOVERNMENT’S SUPPLIER AWARD MANAGEMENT SYSTEM (SAM) SITE MUST COMPLETE, DATE, SUBMIT, AND SIGN THIS FORM PRIOR TO PLACEMENT OF FRONTGRADE TECHNOLOGIES, LLC’S PURCHASE ORDERS. ANY CHANGES DURING THE COVERED OR EFFECTIVE PERIOD MUST BE SENT BY FORMAL NOTIFICATION TO FRONTGRADE TECHNOLOGIES, LLC AND YOUR LOCAL SOURCING REPRESENTATIVE.

SUPPLIER DATA SHEET

| | | | | |
|---|-------------------------------------|--------------------------------|-----------------------------------|-----------------------------------|
| 1. Supplier Company Name (name as it appears on W-9) | | 1a. Tax ID Number | 1b. Number of Employees | |
| 2. Supplier No. | 2a. Unique Entity Identifier | | 2b. Primary NAICS Code | 2c. Cage Code |
| 3. Purchase Order Mailing Address | | | | |
| 3a. City | 3b. State | 3c. Zip Code | 3d. Congressional District | |
| 3e. County Code | 3f. Point of Contact | 3g. Title of Contact | 3h. Contact Phone Number | |
| 3i. Contact Email | | | | |
| 4. Manufacturing street address (if different than PO address) | | | | |
| 4a. Manufacturing City | | 4b. Manufacturing State | | 4c. Manufacturing Zip Code |
| 4d. Congressional District | | 4e. County Code | | 4f. Point of Contact |

| | | |
|---|---|---|
| 4g. Title of Contact | 4h. Contact Phone Number | 4i. Contact Email |
| 5. Name of person completing form | 5a. Title of person completing form | 5b. Phone no. of person completing form |
| 6. Type of Legal Entity <input type="checkbox"/> Corporation <input type="checkbox"/> LLP <input type="checkbox"/> International Organization <input type="checkbox"/> Partnership <input type="checkbox"/> Government Entity (See 6a) <input type="checkbox"/> Private Foundation <input type="checkbox"/> LLC <input type="checkbox"/> Individual <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Non – Profit Organization <input type="checkbox"/> For – Profit Educational Institution <input type="checkbox"/> Not for Profit Educational Institution <input type="checkbox"/> Federally Funded Research and Development <input type="checkbox"/> Other (see 6b) <input type="checkbox"/> Joint Venture between: | | |
| 6a. If Incorporated, under the laws of the state of: | 6b. If Government Entity, state what kind of entity | |
| 6b. State “other” type of legal entity | | |
| 7. Nature of Business | | |
| 8. Foreign Owned, Controlled, or Influenced whether a supplier, intermediate, or parent is subject to FOCI <input type="checkbox"/> Yes <input type="checkbox"/> No | | |
| 9. Affiliate Status <input type="checkbox"/> Not a Subsidiary / Division of another firm <input type="checkbox"/> A Subsidiary / Division of another firm | 9a. Name of Immediate / Ultimate Parent | |
| 9c. Address | 9b. Relationship | |
| | 9d. Place of Incorporation | |

| |
|---|
| <p>10. Business Type (must apply to NAICS code in 2b.) (If small business selected, continue on to question 11)</p> <p><input type="checkbox"/> Large Business <input type="checkbox"/> Government Agency</p> <p><input type="checkbox"/> Small Business <input type="checkbox"/> Foreign Business located outside of the U.S</p> <p><input type="checkbox"/> Frontgrade Business Unit</p> |
| <p>11. Small Business Concerns</p> <p><input type="checkbox"/> Small Disadvantaged Business (Including ANC or Indian Tribes)</p> <p><input type="checkbox"/> HUBZone</p> <p><input type="checkbox"/> Veteran Owned Business</p> <p><input type="checkbox"/> Service-Disabled Veteran Owned Small Business (SDVOSB)</p> <p><input type="checkbox"/> Women Owned Small Business (WOSB)</p> <p><input type="checkbox"/> Economically Disadvantaged Women Owned Small Business (EDWOSB)</p> <p><input type="checkbox"/> None</p> |
| <p>12. Is the Supplier Registered in SAM and is SAM up to date?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> |
| <p>13. Additional NAICS Codes</p> |

THE UNDERSIGNED SUPPLIER HEREBY MAKES THE FOLLOWING CERTIFICATIONS AND REPRESENTATIONS TO FRONTGRADE FOR ALL CONTRACTS EXECUTED WITH SUPPLIER WITHIN TWELVE (12) MONTHS FROM

1) **Representation Regarding Certain Telecommunications and Video Surveillance Services or Equipment (FAR 52.204-24)**

In accordance with Federal Acquisition Regulations (FAR) 52.204-26:

The Offeror represents that-

does, does not provide covered telecommunications equipment or services as a part of its offered products or services to the Government in the performance of any contract, subcontract, or other contractual instrument.

does, does not use covered telecommunications equipment or services, or any equipment, system, or service that uses covered telecommunications equipment or services.

2) **Representation Regarding Prohibition on Contracting with Inverted Domestic Corporations-Representation. (FAR 52.209-2)**

The Offeror represents that-

(1) It is, is not an inverted domestic corporation; and

(2) It is, is not a subsidiary of an inverted domestic corporation.

3) **Representation Regarding Responsibility Matters, Tax Liability and Felony Conviction (FAR 52.209-5, 52.209-11)**

The Offeror certifies, to the best of its knowledge and belief, that—

(i) The 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", the offeror shall also see 52.209-7, if included in this solicitation)

(C) Are Are not presently indicted for, or otherwise criminally or civilly charged by a governmental entity with, commission of any of the offenses within a three-year period preceding this offer

(D) Have , Have not , within a three-year period preceding this offer, been notified of any delinquent Federal taxes in an amount that exceeds \$10,000 for which the liability remains unsatisfied.

(E) The Offeror has Has not , within a three-year period preceding this offer, had one or more contracts terminated for default by any Federal agency.

(F) It is Is not a corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability; and

(G) It is Is not a corporation that was convicted of a felony criminal violation under a federal law within the preceding 24 months.

4) Previous Contracts and Compliance Records (FAR 52.222-22)

The offeror represents that-

It has, has not participated in a previous contract or subcontract subject to the Equal Opportunity clause of this solicitation.

It has, has not filed all required compliance reports; and

Representations indicating submission of required compliance reports, signed by proposed subcontractors, will be obtained before subcontract awards.

5) Affirmative Action Compliance (FAR 52.222-25)

The 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 60-1 and 60-2); or

(b) It has not previously had contracts subject to the written affirmative action programs requirement of the rules and regulations of the Secretary of Labor

6) Total Compensation of Offeror's Executives (FAR 52.204-10)

Offeror may leave this section incomplete if, in the following year Offeror did not receive:

\$300,000.00 in revenue from all sources in the previous year; and

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; and

\$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.

Or

The public has 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. If this box is checked, the offeror is not required to complete the remainder of this section.

Offeror must provide in the space below the names and total compensation of each of Offeror's five most highly compensated Executives for its preceding completed fiscal year.

| Name | Title | Annual Compensation |
|------|-------|---------------------|
| | | \$ |
| | | \$ |
| | | \$ |
| | | \$ |
| | | \$ |

Offeror hereby acknowledges and agrees that Offeror shall, at the time of award that is subject to FAR 52.204-10, provide FRONTGRADE the Offeror's applicable and current information which FRONTGRADE is required by law to report to the US Government and which information will be made available to the public

7) Accounting and Business System Representations:

a) Accounting System - Does Offeror have a federal government approved accounting system?

YES **NO**

If YES, answer below:

- (a) Date of approval [Click or tap to enter a date.](#)
- (b) Government office granting approval (if different than above) [Click or tap here to enter text.](#)
- (c) Audit Report Number [Click or tap here to enter text.](#)
- (d) Upon FRONTGRADE's request, Offeror shall provide a copy of such approval letter.

b) Property System - Does Offeror have a federal government approved property system?

YES **NO**

If YES, answer below:

- (a) Date of approval [Click or tap to enter a date.](#)
- (b) Government office granting approval (if different than above) [Click or tap here to enter text.](#)
- (c) Audit Report Number [Click or tap here to enter text.](#)
- (d) Upon FRONTGRADE's request, Offeror shall provide a copy of such approval letter.

c) Purchasing System - Does Offeror have a federal government approved purchasing system?

YES **NO**

If YES, answer below:

- (a) Date of approval Click or tap to enter a date.
- (b) Government office granting approval (if different than above) Click or tap here to enter text.
- (c) Audit Report Number Click or tap here to enter text.
- (d) Upon FRONTGRADE's request, Offeror shall provide a copy of such approval letter.

d) Estimating System - Does Offeror have a federal government approved Estimating system?

YES **NO**

If YES, answer below:

- (a) Date of approval Click or tap to enter a date.
- (b) Government office granting approval (if different than above) Click or tap here to enter text.
- (c) Audit Report Number Click or tap here to enter text.
- (d) Upon FRONTGRADE's request, Offeror shall provide a copy of such approval letter.

e) Earned Value Management System - Does Offeror have a federal government approved EVMS system?

YES **NO**

If YES, answer below:

- (a) Date of approval Click or tap to enter a date.
- (b) Government office granting approval (if different than above) Click or tap here to enter text.
- (c) Audit Report Number Click or tap here to enter text.
- (d) Upon FRONTGRADE's request, Offeror shall provide a copy of such approval letter.

8) Cost Accounting Standards:

a) Is Offeror's organization subject to Cost Accounting Standards (CAS) (48 CFR Chapter 99)?

YES **NO**

If YES, is it Full or Modified CAS? **Full** **Modified**

b) Cost Accounting Disclosure Statement - Does Offeror have adequate disclosure statements?

YES **NO**

If YES, answer below:

- (a) Date of approval: Click or tap to enter a date.
- (b) Government office granting approval (if different than above) Click or tap here to enter text.
- (c) Audit Report Number Click or tap here to enter text.
- (d) Upon Battelle's request, Offeror shall provide a copy of such approval letter.

9) DFARS 252.204-7012 Safeguarding Covered Defense Information and Cyber Incident Reporting:

(a) Supplier has implemented the requirement of DFARS 252.242-7012, "Safeguarding Covered Defense Information and Cyber Incident Reporting."

Yes

No

N/A – Supplier certifies it does not collect, develop, receive, transmit, or use or store CUI/CDI/CTI in support of the performance of its DoD subcontracts with Frontgrade.

N/A – Supplier certifies it exclusively provides COTS (Commercial off the shelf) parts as defined by FAR 2.101.

(b) Does your company have a System Security Plan (SSP) and Plan of Actions and Milestones (POA&M) in place, as required, documenting the implementation of the 110 NIST Controls?

YES **NO**

(c) If your company has the required SSP and POA&M and you have answered as **NOT** being compliant with 252.204-7012, which provisions, (c) though (m), is your company not compliant to?

10) DFARS 252.204-7019 NIST SP 800-171 DoD Assessment Requirements:

Supplier is currently compliant with DFARS 252.204-7019 or will be compliant at time of commencement of performance if subsequently awarded a purchase order or contract with USG end use. Supplier has completed, within the last three (3) years, at least a Basic NIST SP 800-171 DoD Assessment for all covered contractor information systems relevant to its offer(s) and have posted score in US Government's Supplier Performance Risk System (SPRS).

Yes

No

N/A – Supplier certifies it does not collect, develop, receive, transmit, use or store CUI/CDI/CTI in support of the performance of its DoD subcontracts with Frontgrade

N/A – Supplier certifies it exclusively provides COTS (Commercially available Off-The-Shelf) parts as defined by FAR 2.101 (Commercial products/services, that are not COTS, are not exempt from this clause)

If "No" to question above, is your company operating under a Plan of Action and Milestones (POAM)?

YES **NO**

If your company is operating under a POAM

Please provide the POAM closure date:

Has your company implemented all 31 Basic Security Requirement controls of the National Institute of Standards and Technology (NIST) Special Publication (SP) 800-171?

YES NO

Has your company implemented 100 or more controls of the National Institute of Standards and Technology (NIST) Special Publication (SP) 800-171?

YES NO

Does your company currently hold a Medium Level of Assurance (MLOA) Certificate to access DIBNET portal for cyber incident reporting?

YES NO

If "Yes" to question to MLOA, please provide the name of the issuer:

11) DFARS 252.204-7020 NIST SP 800-171 DoD Assessment Requirements:

Supplier is currently compliant with DFARS 252.204-7020 or will be compliant at time of commencement of performance if subsequently awarded a purchase order or contract with USG end use. Supplier has completed, within the last three (3) years, at least a Basic NIST SP 800-171 DoD Assessment for all covered contractor information systems relevant to its offer(s) and have posted score in US Government's Supplier Performance Risk System (SPRS).

Yes

No

N/A – Supplier certifies it does not collect, develop, receive, transmit, use or store CUI/CDI/CTI in support of the performance of its DoD subcontracts with Frontgrade

N/A – Supplier certifies it exclusively provides COTS (Commercially available Off-The-Shelf) parts as defined by FAR 2.101 (Commercial products/services, that are not COTS, are not exempt from this clause)

If "Yes" to question above, please provide:

Self-assessment or Defense Industrial Base Cyber Security Assessment Center (DIB CAC): Self

DIB CAC

If Self-assessed, provide the date of the score submission to SPRS:

If "DIB CAC", what level assessment? Medium High

DIB CAC assessment date:

Supplier has a System Security Plan(s) (SSP) associated with covered contractor information system(s)

- YES NO

12) DFARS 252.204-7021 Cyber Security Maturity Model Certification (CMMC):

Requirements pertaining to CMMC are either anticipated or are now in place via a contract clause or RFP requirement on certain approved programs. Offeror represents it:

- Has been certified by an accredited 3rd party CMMC assessor
- Has not been certified, but has begun the certification process, or intends to seek certification, by an accredited 3rd party CMMC assessor
- Does not intend to seek CMMC certification
- N/A – Supplier certifies it exclusively provides COTS (Commercially available Off-The-Shelf) parts as defined by FAR 2.101 (Commercial products/services, that are not COTS, are not exempt from this clause)

(Suppliers who have been certified)

Offeror's certification level:

- Level 1
- Level 2
- Level 3

(Suppliers who have begun the certification process or intend to seek certification)

Offeror's intended minimum certification level:

- Level 1
- Level 2
- Level 3

The following FAR and DFARS provisions are incorporated by reference. They do not require completion of any data. Offeror's signature asserts that Offeror complies with each of these provisions.

| | |
|--|--|
| FAR 52.203-2: Certificate of Independent Price Determination | 52.203-3: Gratuities |
| 52.203-5: Covenant Against Contingent Fees. | 52.203-7: Anti-Kickback Procedures |
| FAR 52.203-11: Certification and Disclosure Regarding Payments to Influence Certain Federal Transactions | 52.203-12: Limitation on Payments to Influence Certain Federal Transactions |
| FAR 52.203-13: Contractor Code of Business Ethics and Conduct. | FAR 52.203-18: Prohibition on Contracting with Entities that Require Certain Internal Confidentiality Agreements or Statements – Representation |
| FAR 52.204-21: Basic Safeguarding of Covered Contractor Information Systems | FAR 52.209-2, 52.209-10: Prohibition on Contracting with Inverted Domestic Corporations |
| FAR 52.204-25: Prohibition of Contracting for Certain Telecommunications and Video Surveillance Services or Equipment | FAR 52.222-38: Compliance with Veterans' Employment Reporting Requirements |
| FAR 52.212-5: Contract Terms and Conditions Required to Implement Statutes or Executive Orders- Commercial Items | FAR 52.222-50, 52.222-56: Combating Trafficking in Persons |
| FAR 52.222-40: Notification of Employee Rights Under the National Labor Relations Act. | FAR 52.225-20: Prohibition on Conducting Restricted Business Operations in Sudan - Certification |
| FAR 52.223-22: Public Disclosure of Greenhouse Gas Emissions and Reduction Goals - Representation. | FAR 52.227-6: Royalty Information |
| FAR 52.225-25: Prohibition on Contracting with Entities Engaging in Certain Activities or Transactions Relating to Iran – Representation and Certifications | DFARS 252.204-7008: Compliance with Safeguarding Covered Defense Information Controls |
| DFARS 252.204-7000: Disclosure of Information | DFARS 252.204-7019: Notice of NIST SP 800-171 DoD Assessment Requirements |
| DFARS 252.204-7012: Safeguarding Covered Defense Information and Cyber Incident Reporting | DFARS 252.204-7021: Cybersecurity Maturity Model Certification Requirements |
| DFARS 252.204-7020: NIST SP 800-171 DoD Assessment Requirements | DFARS 252.216-7008: Economic Price Adjustment - Wage Rates or Material Prices Controlled by a Foreign Government - Representation. |
| DFARS 252.209-7002: Disclosure of Ownership or Control by a Foreign Government | DFARS 252.225-7003: Report of Intended Performance Outside the United States and Canada- Submission with Offer |
| DFARS 252.225-7000: Buy American - Balance of Payments Program Certificate | DFARS 252.225-7042: Authorization to Perform |
| DFARS 252.225-7031: Secondary Arab Boycott of Israel | DFARS 252.225-7050: Disclosure of Ownership or Control by the Government of a Country that is a State Sponsor of Terrorism (Is Not) |
| DFARS 252.225-7049: Prohibition on Acquisition of Certain Foreign Commercial Satellite Services - Representations | 252.246-7007: Contractor Counterfeit Electronic Part Detection and Avoidance System |
| DFARS 252.225-7060: Prohibition on Certain Procurements from the Xinjiang Uyghur Autonomous Region | DFARS 252.247-7023: Transportation of Supplies by Sea (Alternate I, II) |
| 252.246-7008: Sources of Electronic Parts | |

THE UNDERSIGNED OFFEROR CERTIFIES THAT THE INFORMATION CONTAINED WITHIN THIS DOCUMENT IS TRUE AND ACCURATE TO THE BEST OF ITS KNOWLEDGE.

BY THE EXECUTION OF THIS DOCUMENT, THE UNDERSIGNED OFFEROR AGREES TO PROVIDE IMMEDIATE WRITTEN NOTICE TO FRONTGRADE. IF, AT ANY TIME DURING THE EFFECTIVE PERIOD OF THIS DOCUMENT, THE UNDERSIGNED OFFEROR LEARNS THAT THIS DOCUMENT WAS ERRONEOUS WHEN SUBMITTED OR HAS BECOME ERRONEOUS BY REASON OF CHANGED CIRCUMSTANCES.

THE EFFECTIVE PERIOD OF THIS DOCUMENT IS ONE YEAR FROM THE DATE OF EXECUTION.

Signature

Printed Name of Signatory

Title of Signatory
