



SUPPLIER ANNUAL CERTIFICATIONS AND REPRESENTATIONS

(To be Completed by Supplier)

The United States Government requires ITT Inc. (ITT) to obtain the completed and signed certifications contained herein. These certifications are required annually and will be effective for one year.

NOTE: The penalty for misrepresentation of business status is prescribed in 15 U.S.C. 645(d) & 18 U.S.C. 1001.

- 1. *Supplier Company Name: _____
- *Supplier Address: _____
- *Congressional District (State): _____
- *Cage Code: _____
- *Duns Number: _____
- *Primary NAICS Code (6-Digit): _____
- *SAM (system for Award Management)Registration Date, active until: _____
- *When does your fiscal year start and end? _____

* Supplier must fill in (all) of the items listed above, put N/A if “not applicable”.

Supplier must provide with this submission the latest revision Form W-9

2. Type of Business Organization

Supplier, by checking the applicable box below, represents that it operates as:

- | | | | |
|--|--|--------------------------------------|--|
| <input type="checkbox"/> Individual | <input type="checkbox"/> Non-Profit Organization | <input type="checkbox"/> Corporation | <input type="checkbox"/> State or Local Government Agency Corporation, Incorporation Under the Laws of the State |
| <input type="checkbox"/> Partnership | <input type="checkbox"/> Limited Liability Corporation | <input type="checkbox"/> Division | <input type="checkbox"/> Years in Business |
| <input type="checkbox"/> Joint Venture | <input type="checkbox"/> Limited Liability Partner | <input type="checkbox"/> Subsidiary | |

3. Parent Company

Check one Supplier is, is not owned (more than 50% voting rights) or controlled by a common parent business concern. If yes, please complete the information below:

Name: _____

Address: _____

Address 2: _____

City: _____ State: _____ Country: _____ Postal Code: _____

Parent Duns #: _____

United States Owned Yes No

If No, Non-U.S. owned but incorporated in the U.S. Yes No



4. **Union Contract**

In order to fulfill requirements to notify customers in the event of Actual or anticipated labor strikes, we request the following information:

Check (✓) one supplier has does not have a union at this location. If Yes, please complete information below. For multiple unions please attach additional information.

Union Name: _____

Contract Expiration Date: _____

5. **Business Size**

- Small Large ITT affiliated entity

NOTICE: Under 15 U.S.C. 645 (d), any person who misrepresents a firm's status as established pursuant to Sections 8(a), 8(d), 9, 15, 31 or 36 of the Small Business Act or any other provision of the Federal Law that specifically references Section 8(d) for a definition of program eligibility, shall (1) be punished by the imposition of fine, imprisonment, or be ineligible for participation in programs conducted under the authority of the act.

Socio-economic Classifications (Check all that apply)

- Self-Certified Minority Owned (MBE)
- Certified MBE: **Must provide a copy: NMSDC or State Certification**
- Self-Certified WOSB/WBE
- Certified WOSB/WBE: **Must provide a copy: WEBANC or State Certification**
- Native American Owned (NA)
- Alaskan Native American Owned (ANA)
- Veteran Owned (VOSB)
- Service Disabled Veteran Owned (SDVOSB)
- Severely Handicapped
- Historically Black Colleges and Universities / Minority Institutions
- Self-Certified SDB (Small Disadvantaged Business)
- HUB Zone (HUB): **Must provide a copy: SBA Hub Zone Letter of Certification**

6. **Preference for Domestic Specialty Metals**

OR A PART(S) THAT HAS A MILITARY REQUIREMENT OR APPLICATION (REFERENCED ON THE DRAWING OR OTHER APPLICABLE DOCUMENTS), SUPPLIER AGREES TO COMPLY WITH THE FOLLOWING PER DFARS 252.225-7008, DFARS 252.225-7009: If the part(s) or assemblies for this order contain "Specialty Metals" (defined as titanium, zirconium, alloys consisting of nickel, iron-nickel, cobalt, titanium, or zirconium, or certain steel alloys), then these "Specialty Metals" must be MELTED in the United States or in a Qualified Country as defined in the Defense Federal Acquisition Regulation Supplement 25.003(9), which are (Austria, Australia, Belgium, Canada, Denmark, Egypt, Federal Republic of Germany, Finland, France, Greece, Israel, Italy, Luxembourg, Netherlands, Norway, Portugal, Spain, Switzerland, Turkey, Sweden, United Kingdom of Great Britain, and Northern Ireland). ***This requirement applies to every sub-tier under contract with your company supporting military parts for ITT and, therefore, this requirement must be flowed down to every level in that supply chain.***

Do you comply with DFARS 252.225-7008, DFARS 252.225-7009? Yes, No Not Applicable If you do not comply with this requirement, contact your ITT buyer(s).



7. Subcontractor (Supplier) Code of Business Ethics (FAR 52.203-13)

In accordance with FAR 52.203-13, suppliers must maintain specific written standards of conduct. The rule applies to all new contracts and subcontracts (except for commercial item contracts and contracts to be performed entirely outside of United States) that are expected to exceed \$5 million and have a performance period of 120 days or more.

Meeting the above criteria supplier must have the following requirements in place:

- Have written code of business ethics and conduct;
- Provide copy of written code to each employee on the contracted project;
- Promote compliance with the code; and establish an ongoing awareness program, with sufficient internal controls to facilitate discovery of improper conduct.

Do you have program in place which meets the requirements specified above?

Yes No

If your response was "No" identify your plan to comply:

8. Representation of Transportation by Air or Sea FAR52.247-63 OR DFARS 252.247.7023

If Supplier will be transporting by Air or Sea, Supplier represents and certifies that US-Flag air carriers or US-Flag vessels will be used as required by FAR 52.247-63 or DFARS 252.247.7023, respectively.

9. Customs Administration C-TPAT

Do you participate or are certified in a supply chain security program administered by your government's customs administration? Yes, No. If answered YES, please indicate the name of the security program:

10. Prohibition of Segregated Facilities (Far 52.222-21)

- Supplier certifies that it does not and will not maintain or provide for its employees any segregated facilities at any of its establishments and that it does not and will not permit its employees to perform their services at any location under its control where segregated facilities are maintained. Supplier agrees that a breach of this certificate is a violation of the Equal Employment Opportunity clause in any contract or subcontract resulting from this solicitation.
- "Segregated facilities," means any waiting rooms, work areas, restrooms and washrooms, restaurants and other eating areas, time clocks, locker rooms and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation, and housing facilities provided for employees, that are segregated by explicit directive or are in fact segregated on the basis of race, color, religion, or national origin because of habit, local custom, or otherwise.

11. Previous Contracts and Compliance Reports (FAR 52.222-22)

1. Check (√) Supplier has, has not participated in a previous contract or subcontract subject one of two to either (a) FAR 52.222-26, "Equal Opportunity", (b) the clause originally contained in Section 310 of Executive Order No.10925, OR (c) the clause contained in Section 201 of Executive Order No. 11114.

2. Check (√) Supplier has, has not filed all required compliance reports; and one of two representations, signed by subcontractors, indicating submission of required compliance reports will be obtained before subcontract awards.

- **EXEMPTION:** Supplier is, is not exempt from above on the basis that all work related to goods or services sold to UTAS is performed entirely outside the United States by employees who were not recruited within the United States.



12. Affirmative Action Compliance (FAR 52.222-25)

Check (√) one

1. Supplier **has** developed and has on file Affirmative Action programs at each establishment as required by the rules and regulations of the Secretary of Labor (41 CFR 60-1 and 60-2)
Supplier **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).
2. Supplier **has not** previously had contracts subject to the written affirmative action programs requirement of the rules and regulations of the Secretary of Labor.

13. Equal Opportunity (Far 52.222-26)

Supplier represents that it **is** **is not** in compliance with the subject clause and executive order 11246 as amended, and the rules, regulations and Orders of the Secretary of the labor pertaining to Equal Opportunity.

14. Equal Opportunity for Disabled Veterans and Veterans of The Vietnam Era (Far 52.222- 35)

Supplier certifies that it **is** **is not** in compliance with applicable affirmative action and labor laws pertaining to the employment of special Disabled Veterans, Veterans of the Vietnam Era, and other eligible Veterans.

15. Affirmative Action for Workers With Disabilities (Far 52.222.36)

Supplier certifies that it **is** **is not** in compliance with applicable affirmative action and labor laws pertaining to the employment of workers with disabilities.

16. Employment Reports on Disabled Veterans and Veterans of The Vietnam Era (Far 52.222- 37)

Supplier certifies that it **is** **is not** in compliance with the applicable reporting requirements regarding Special Disabled Veterans, Veterans of the Vietnam Era, and other eligible Veterans.

17. Certificate of Independent Price Determination (FAR 52.203-2)

All prices proposed and charged to ITT have been independently determined and not for the purpose of restricting competition, whether by the methods or factors used to determine said prices or whether to bid. All said prices have not and will not be disclosed by supplier knowingly to others and no attempt has been made or will be made by supplier to induce any other concern to submit or not to submit a bid.

18. Certification Regarding Responsibility Matters (FAR 52.209-5/-6)

1. Check (√) One of two:

- a. **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 criminal offense in connection with obtaining attempting to obtain, or performing a publish (Federal, state, or local) contract or subcontract; violation of Federal or state antitrust statues 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; and
- b. **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 above section of this certification.
- c. **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.



19. Certification Regarding Responsibility Matters (FAR 52.209-6)

1. Supplier certifies that it and/or its Principals –
 - a. are are not presently debarred, suspended, proposed for debarment, or declared ineligible in any aspect from entering into contracts with the Federal Government, or in receipt of notice of proposed debarment from any other department of the Federal Government;
 - b. Supplier shall provide the Buyer immediate notice in the event of being suspended, debarred or declared ineligible to receive awards from “any” Federal Agency.
2. Supplier shall provide the Buyer immediate notice in the event of being suspended, debarred or declared ineligible to receive awards from “any” Federal Agency or if any of the circumstances identified above have changed.
3. The certifications in paragraphs (a) of this provision are a material representation of fact upon which reliance was placed when making award. If it is later determined that Supplier knowingly rendered an erroneous certification, in addition to other remedies available to the Buyer, the Buyer may terminate the contract resulting from this solicitation for default.
4. Definitions of terms referenced above can be found at FAR 52.209-5 and are incorporated herein.

20. Payments to Influence Certain Federal Transactions (FAR 52.203-11)

Supplier, to the best of its knowledge and belief has not and will not pay federal appropriated funds to any person for influencing or attempting to influence as described in FAR 52.203-11. In accordance with FAR 52.203-11, Paragraph 2, Supplier shall complete and submit to ITT a disclosure of lobbying activities with each bid valued in excess of \$150,000. Supplier shall obtain from their subcontractors a certification substantially the same as this, including the requirements for flow down, for all subcontract awards valued in excess of \$150,000.

24. Payments of Fees, Commissions or Political Contributions to Foreign Countries

1. Supplier certifies that:
 - (a) It will pay no fees, commissions or political contributions (as defined in 22 CFR 130.5 and 130.6) to secure the conclusion of a sale of defense articles or defense services to or for the use of the Armed Forces or International Organization of any country other than those of the United States of America; and
 - (b) It will notify ITT in writing within (30) days of becoming aware that the certification in (A) above is inaccurate or will become inaccurate, such notice to include all relevant information required to explain the changed circumstances.

25. Directorate of Defense Trade Controls Registration; Export Compliance

Do you manufacture any defense articles listed on the United States Munitions List?

YES NO

If YES: Supplier is required to complete the registration below. Additional information can be found on the following website: <http://www.pmdtc.state.gov/registration/>

Provide your or your Parent Companies Registration expiration date- _____.

A Supplier who does not engage in exporting must nevertheless register.

Supplier (or its Parent Company) is is not registered with the Directorate of Defense Trade Controls, Bureau of Political Military Affairs, Department of State, Washington, D.C. 20522-0602 as required by Section 122.1 (A) of the International Traffic In Arms Regulations (“ITAR”) for all United States manufacturers engaged in the business of either manufacturing or exporting defense articles listed on the United State Munitions List. All parts or components designed for and installed in or to be used on any military aircraft are considered to be defense articles and included on the United States Munitions List.



**26. Federal Funding Accountability and Transparency Act of 2006 (Pub L 109-282) FAR 52 204-10
This Section shall apply only to first-tier subcontractors when the Buyer is performing as a prime contractor under a U.S. government contract over \$25,000.**

These questions are a part of its annual registration requirement in the System for Award Management (SAM) database (FAR provision 52.204-7),

*** Items are mandatory as noted.**

Executive Compensation

*In your business or organization's preceding completed fiscal year, did your business or organization (the legal entity to which this specific certification, represented by a DUNS number, belongs) receive both of the following:

1. 80 percent or more of your annual gross revenues in the U.S. federal contracts, subcontracts, loans, grants subgrants, and/or cooperative agreements; and
2. \$25,000,000 or more in annual gross revenues from U.S. federal contracts, subcontracts, loans, grants, subgrants, and/or cooperative agreements?

YES NO

Mandatory only if you answered YES to the above question:

Does the public have access to information about the compensation of the senior executives in your business or organization (the legal entity to which this specific certification, represented by a DUNS number, belongs) through period reports filed under section 13(a) or 15(d) of the Security Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986?

YES NO

Mandatory only if you answered NO to the above question:

Provide the following information for the five (5) most highly compensation executives in your business or organization (the legal entity to which this specific certification, represented by a DUNS number, belongs): Name, Position Title, and Total Compensation Amount for the Entity's preceding completed fiscal year, in Table 1 below:

TABLE 1

Name	Position/Title	Total Compensation Amount for Entity's Preceding Completed Fiscal Year



27. Certification Regarding Knowledge of Child Labor for Listed End Products (FAR 52.222-18)

- (1) Supplier will not supply any end product listed in paragraph (b) of the provision that was mined, produced, or manufactured in a corresponding country as listed for that end product.
- (2) Supplier may supply an end product listed in paragraph (b) of the provision that was mined, produced, or manufactured in the corresponding country as listed for that product. Supplier certifies that it has made a good faith effort to determine whether forced or indentured child labor was used to mine, produce or manufacture such end product. On the basis of those efforts, Supplier certifies that is not aware of any such use of child labor.

28. COMPLIANCE WITH SAFEGUARDING COVERED DEFENSE INFORMATION CONTROLS. (DFARS 252.204-7008)

Per DFARS 252.204-7008 (b) The security requirements required by contract clause 252.204-7012, shall be implemented for all covered defense information on all covered contractor information systems that support the performance of DoD related contracts/subcontracts.

Supplier certifies that it does, does not have an IT system that meets the requirements outlined in NIST 800-171 (DFARS 252.204-7012(b))

If "does not", Supplier Certifies that they do not provide any components ultimately for US Government Contracts or explanation _____

29. Mandatory Signature and Contact Information of Representative Authorized to Contractual Commit the Company

Signature: _____

Name and Title (Please Print) Date

Contact Information: Phone Number: _____
Fax Number: _____
Email address: _____

SUPPLIER'S SIGNATURE AFFIXED HEREIN CERTIFIES THAT INFORMATION IN ITEMS 1 THROUGH 28. IS ACCURATE AND COMPLETE. (NOTE: Changes in supplier's status must be immediately reported to ITT.)