



**ANNUAL OFFEROR REGISTRATION
DATA, REPRESENTATIONS AND
CERTIFICATIONS CR-003 (12/20)**

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

Offeror: Raytheon Technologies Corporation (“RTX”) and its affiliates, including, but not limited to, Collins Aerospace, Pratt & Whitney, Raytheon Intelligence & Space, and Raytheon Missiles & Defense must gather and maintain certain registration data from all **Offerors**. RTX 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.**, **Section A.5.** and **Section C** in their entirety.
 - (a) In addition to Section A.1., Section A.5. and Section C, **all Foreign Offerors** must also complete **Section A.2**;
 - (b) In addition to Section A.1., Section A.5. and Section C, **all Small Business Offerors** must also complete **Section A.3**; and
- (2) Any **Offerors** who do (or want to) provide RTX 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) _____	Remit to Address (PO Box or Street Address): _____
Address (Number, Street, Apt. or Suite): _____	Remit to City, County and State: _____
City, County and State: _____	Remit to Country: _____ Remit to Zip+4 or Postal Code: _____
Country: _____ Zip+4 or Postal Code: _____	Remit to Telephone: _____
Telephone: _____	Remit to Email: _____
Business Email: _____	Signatory Title: _____

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 <https://www.irs.gov>:

(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 <https://www.SAM.gov>.)

All Offerors registered with the CCR database must provide their assigned 5-character Commercial and Government Entity (CAGE) and NATO Commercial and Government Entity (NCAGE) Code, if applicable:

CAGE Code: _____

NCAGE Code: _____

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

Business Name: _____

DBA 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: _____

Email: _____

Telephone: _____

Offeror's Physical Location DUNS# if different than given above:

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Offeror's Physical Location CAGE Code if different than given above: _____

(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:

DBA or Division (if applicable)

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

City, County and State:

Congressional District (if applicable)

Country:

Zip+4 or Postal Code:

Telephone:

Offeror's Primary Performance Location DUNS# if different than given above:

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Offeror's Primary Performance Location CAGE Code if different than given above:

Email:

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

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

(g) **Offeror's** Federal Tax Classification for Information Reporting (Select ONE):

- Individual / Sole Proprietor or Single Member LLC
- Corporation (C or S)
- Partnership
- Trust / Estate
- Government Agency (Federal, Foreign or State)
- Non-Profit Organization
- Limited Liability Company C Corporation
- Limited Liability Company S Corporation
- Limited Liability Company Partnership
- Non-U.S. Entity (Complete applicable W-8)

For Individual/Sole Proprietor, Single Member LLC, Partnership, Trust/Estate, Non-Profit Organization, or Limited Liability Partnership Only**Offeror's** Activity for Federal Tax Information Reporting (Select ONE):

- Rentals – Real estate rentals, machine rentals
- Royalties – Intangible property such as patents, copyrights, trade names and trademarks
- Punitive Damages – Any damage for non-physical injuries or sickness
- Medical / Health Care – Physician or other supplier or provider of medical or healthcare service
- Consultant / Professional Fees – Fees to accountants, architects, contractors, engineers, referral fees or payment for services

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 Type (check only ONE) ([See Definitions](#)):

- Construction
- Consultant
- Service
- Software
- Testing
- Manufacturer Only
- Manufacturer / Authorized Distributor
- Manufacturer / Non-Franchised Distributor
- Non-Franchised Distributor Only
- Authorized / Franchised Distributor Only
- Both Authorized / Franchised & Non-Franchised Distributor

(i) **Offeror** represents and certifies that it is a (check only ONE):

- Large Business
- Large Business that can also certify as Small for specific NAICS Codes, as defined at <https://www.sba.gov>, (Must also complete the representations in Section A.3., below)
- Non-U.S. Entity
- Small Business, as defined at <https://www.sba.gov>, (Small Business **Offerors** must also complete the representations in Section A.3., below)

Offeror: Select the following categories that are relevant (check all that apply):

- Women Owned
- Minority Owned
- Veteran Owned
- Service Disabled Veteran Owned
- Native American Owned
- Historical Black College / Minority Institution
- Not applicable

Suppliers represent that they are **Minority Owned** and additionally that they are (check all that apply):

- Black American
- Hispanic American
- Alaskan Native Corporation
- Native American
- Asian-American+
- Asian-Pacific American++
- Sub-Continent Asian+++

+ Asian-American (U.S. citizens whose origins are from Asian descent but are not certain which sub-category.)

++ 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).

Suppliers represent that they are **Native American Owned** and additionally that they are (check all that apply):

- Indian Tribe
- American Indian
- Eskimos
- Aleuts
- Native Hawaiians

(j) **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 represents that (Select only ONE of the following):

- Offeror** does not engage in the business of manufacturing, brokering or exporting defense articles or furnishing defense services.
- Offeror** engages in the business of manufacturing, brokering or exporting defense articles or furnishing defense services and **Offeror** has a current registration with DDTC.
- Offeror** engages in the business of manufacturing, brokering or exporting defense articles or furnishing defense services, and **Offeror** does NOT have a current registration with DDTC.
- Offeror** engages in the business of manufacturing, brokering or exporting defense articles or furnishing defense services and **Offeror** does NOT have a current registration with DDTC but has applied for one.

Suppliers with a current registration with DDTC must provide the following:

Registration Effective Date: _____

Registration Expiry Date: _____

Suppliers that engage in the business of manufacturing, brokering or exporting defense articles or furnishing defense services and do NOT have a current registration with DDTC or have NOT applied for Registration, must provide the reason why not (22 CFR 122.1(b) and/or 22 CFR 129.6(b):

Suppliers that have applied for a registration with DDTC must provide the following:

Registration Submission Date: _____

(k) **Offeror** has a Quality Management System (QMS) certification (check only ONE box): **Yes** **No**

If **Yes**, identify which specific QMS certification(s) are held: _____

If **No**, provide the following:

Quality Manager's name: _____

Quality Manager's email address: _____

Quality level: _____

Section A.2. Applicable Only to Foreign Offerors

(a) Select only ONE of the following:

- Offeror** does not have U.S. Source income (must also complete Section A.2.(b)); **or**
 Offeror derives U.S. Source income (reference Table 1, below) and acknowledges that:

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

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

(b) **Offeror** is the recipient of U.S. 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 RTX prior to award of the Purchase Order; **and,**

(iii) **Offeror's** income is derived as follows: _____% U.S. Source _____% Foreign (Non-U.S. Source) (reference Table 1 below)

NOTE: it is acceptable to enter **0** in one field if there is no income from either U.S. or Non-U.S. Sources, provided the total percentage is **100**.

Table 1: Source Rules for Income for Foreign (non-U.S.) 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](#):

Form W-8BEN-E Instructions are available from the IRS [here](#):

Form W-8BEN (for individuals) is available from the IRS [here](#):

Form W-8BEN Instructions are available from the IRS [here](#):

Form W-8ECI is available from the IRS [here](#):

Form W-8ECI Instructions are available from the IRS [here](#):

Form W-8EXP (for exempt payees) is available from the IRS [here](#):

Form W-8EXP (for flow-through payees) Instructions are available from the IRS [here](#):

Form W-8IMY is available from the IRS [here](#):

Form W-8IMY Instructions are available from the IRS [here](#):

Form 8233 (for nonresident aliens) is available from the IRS [here](#):

Form 8233 Instructions are available from the IRS [here](#) :

Form W-4 (for nonresident aliens) is available from the IRS [here](#):

Form W-4 Instructions are available from the IRS [here](#):

- (b) **Offeror** represents that the income reported as a Non-U.S. Source in either A.2 or Section A.2 (a) is as follows (must answer each question):

Is (**is not**) derived from business income as a result of personal / business / professional services that are performed at _____ (enter N/A if no income derived from services)

Is (**is not**) derived from business income as a result of inventory sold or produced at _____ (enter N/A if no income is derived from sale or production of inventory)

Is (**is not**) derived from business income as a result of rents for rental property located at _____ (enter N/A if no income derived from rents)

Is (**is not**) derived from business income collected as royalties from patents, copyrights, etcetera produced at _____ (enter N/A if no income is derived from royalties)

- (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**

Is **Offeror** a subsidiary whose parent corporation is incorporated in a foreign (Non-U.S.) country?

Yes **No**

Section A.3. Applicable to Small Business Offerors and Large Businesses certifying as a Small Business for specific NAICS Codes

Offeror hereby certifies its business size and, if appropriate, its small business status, below, and that such entries shall be current, accurate and complete as of the date of any **Offeror** proposal to RTX. **Offeror** further 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.

A.3.1. FAR 52.219-1 (MAR 2020) — Small Business Program Representations (TAILORED)

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

Offeror must provide RTX with all North American Industry Classification System (NAICS) code(s) for which the **Offeror** is representing itself as a small business concern, including those 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) Select the applicable size standards as defined by the SBA (<https://www.SBA.gov>).

Number of Employees:

- | | | | |
|------------------------------------|------------------------------------|-------------------------------------|--------------------------------------|
| <input type="checkbox"/> 1 – 100 | <input type="checkbox"/> 101 – 150 | <input type="checkbox"/> 151 – 200 | <input type="checkbox"/> 201 – 250 |
| <input type="checkbox"/> 251 – 500 | <input type="checkbox"/> 501 – 750 | <input type="checkbox"/> 751 – 1000 | <input type="checkbox"/> 1001 – 1250 |
| <input type="checkbox"/> 1251-1500 | <input type="checkbox"/> 1500+ | | |

Avg. Annual Receipts (in millions):

- | | | | |
|--|--|--|--|
| <input type="checkbox"/> \$0 – \$0.75 | <input type="checkbox"/> \$0.75 – \$5.5 | <input type="checkbox"/> \$5.5 – \$7.5 | <input type="checkbox"/> \$7.5 – \$11 |
| <input type="checkbox"/> \$11 – \$15 | <input type="checkbox"/> \$15 – \$18 | <input type="checkbox"/> \$18 – \$19 | <input type="checkbox"/> \$19 – \$20.5 |
| <input type="checkbox"/> \$20.5 – \$25 | <input type="checkbox"/> \$25 – \$27.5 | <input type="checkbox"/> \$27.5 – \$29.5 | <input type="checkbox"/> \$29.5 – \$32 |
| <input type="checkbox"/> \$32 – \$32.5 | <input type="checkbox"/> \$32.5 – \$36.5 | <input type="checkbox"/> \$36.5 – \$37.5 | <input type="checkbox"/> \$37.5 – \$38.5 |
| <input type="checkbox"/> \$38.5+ | | | |

- (3) **Offeror:** If you represent yourself as a small business concern in paragraph A.1 Part III (i) above, indicate whether you **are** (**are not**) a small disadvantaged business concern as defined in 13 CFR 124.1002.
- (4) **Offeror:** If you represent yourself as a small business concern in paragraph A.1 Part III (i) above, indicate whether you **are** (**are not**) a women-owned small business concern.
- (5) **Offeror:** If you represent yourself as a small business concern in paragraph A.1 Part III (i) above, indicate whether you **are** (**are not**) a veteran-owned small business concern.
- (6) **Offeror:** If you represent yourself as a small business concern in paragraph A.1 Part III (i) above, indicate whether you **are** (**are not**) a service-disabled veteran-owned small business concern.
- (7) **Offeror:** If you represent yourself as a small business concern in paragraph A.1 Part III (i) 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)(7)(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: _____ (If you selected “Are Not HUBZone”, enter N/A)

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

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

- (1) “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.
- (2) “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).
- (3) “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 RTX 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.

- (4) “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.
- (5) “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**
- (ii) The management and daily business operations of which are controlled by one or more veterans.
- (6) “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 a small business concern; HUBZone small business concern; small business concern owned and controlled by socially and economically disadvantaged individuals; or small business concern owned and controlled by women 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 (SEP 2015) — Small Business Program Representations

Offeror if you represent yourself as a small business in Section A.1 Part III (i) above, indicate the category in which **Offeror’s** ownership falls.

Select only ONE of the following:

- Not a small disadvantaged business concern
- Black American
- Hispanic American
- Native American
- Asian American +
- Asian-Pacific American ++
- Subcontinent Asian +++
- Individual Concern, other than one of the preceding

- + Asian American (U.S. citizens whose origins are from Asian descent but are not certain which sub-category.)
- ++ 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).

A.4. Additional Certifications

Offeror: Select the following ownership categories that are relevant (check all that apply)

- Economically Disadvantaged Women-Owned Small Business (ED-WOSB)
- SBA (8a) – Must select ‘are’ in Section A.3.1.(3) small disadvantaged business
- Minority Business Enterprise (MBE)
- Women Business Enterprise (WBE)
- Disadvantaged Business Enterprise (DBE)
- Lesbian, Gay, Bisexual, Transgender Business Enterprise (LGBTBE)
- Disability Owned Business Enterprise (DOBE)
- AbilityOne Program
- Airport Concession Disadvantaged Business Enterprise (ACDBE)

Definitions:

- (a) “Economically Disadvantaged Women-Owned Small Business” (ED-WOSB) -- is a small business concern that is at least 51 percent directly and unconditionally owned and controlled by one or more women who are citizens (born or naturalized) of the United States and who are economically disadvantaged. The ED-WOSB automatically qualifies as a women-owned small business eligible for the WOSB Program.
- (b) The “8(a) Business Development Program” (SBA 8(a) Program) - is a business assistance program for small disadvantaged businesses. The 8(a) Program offers a broad scope of assistance to firms that are owned and controlled at least 51% by socially and economically disadvantaged individuals.
- (c) “Minority Business Enterprise” (MBE) – A business that is a for-profit enterprise, regardless of size, physically located in the United States or its trust territories, which is owned, operated managed, and controlled by minority group members. "Minority group members" are United States citizens who are Asian, Black, Hispanic or Native American. Ownership by minority individuals means the business is at least 51% owned by such individuals or, in the case of a publicly-owned business, at least 51% of the stock is owned by one or more such individuals.
- (d) “Women Business Enterprise” (WBE) – A business that is a for-profit enterprise, regardless of size, physically located in the United States or its trust territories, which is owned, operated, managed and controlled by one or more women who are United States citizens. Ownership means the business is at least 51% owned by one or more women or, in the case of publicly owned business, at least 51% of the stock is owned by one or more women.

- (e) “Disadvantaged Business Enterprise” (DBE) - A for-profit small business concern (1) That is at least 51 percent owned by one or more individuals who are both socially and economically Disadvantaged or, in the case of a corporation, in which 51 percent of the stock is owned by one or more such individuals; and (2) Whose management and daily business operations are controlled by one or more of the socially and economically disadvantaged individuals who own it.
- (f) “Lesbian, Gay, Bisexual, Transgender” (LGBT) - A business that is at least 51 percent owned, operated, managed, and controlled by one or more individuals who are lesbian, gay, bisexual, or transgender, and who are either U.S. citizens or lawful permanent residents.
- (g) “Disability Owned Business Enterprise” (DOBE) - A disabled-owned business is a business that is at least 51 percent owned, controlled and operated by an individual or individuals who are disabled.
- (h) “AbilityOne Program” - The AbilityOne Program, formerly known as JWOD, is administered by the Committee for Purchase from People Who Are Blind or Severely Disabled through two Central Nonprofit Agencies, the National Industries for the Blind, and NISH (serving people with a range of disabilities). NIB and NISH work with over 600 nonprofit agencies.
- (i) “Airport Concession Disadvantaged Business Enterprise” (ACDBE) - Airport Concession Disadvantaged Business Enterprise (ACDBE) means a concession that is a for-profit small business concern (1) That is at least 51 percent owned by one or more individuals who are both socially and economically disadvantaged or, in the case of a corporation, in which 51 percent of the stock is owned by one or more such individuals; and (2) Whose management and daily business operations are controlled by one or more of the socially and economically disadvantaged individuals who own it.

A.5 Code of Business Ethics; Conflict of Interest; Business Records

Offeror certifies that it:

- (1) Has a written code of business ethics and conduct that satisfies the requirements and expectations set forth in the RTX Supplier Code of Conduct (available [here](#));
- (2) Provides a copy of that Code of Ethics to each employee and agent of Offeror;
- (3) Promotes compliance with the Code of Ethics;
- (4) Has an ongoing training and awareness program to educate employees about the Code of Ethics.

(Check only ONE): Yes No

Offeror certifies that it has a process to detect and mitigate potential conflicts of interest, including but not limited to those related to current or former employment by a third party organization.

(Check only ONE): Yes No

Offeror certifies that it has policies and/or procedures addressing the creation, maintenance and retention of accurate business records, including but not limited to those records related to quality.

(Check only ONE): Yes No

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

B.1. FAR 52.203-2 (APR 1985) – Certificate of Independent Price Termination (TAILORED)

- Offeror's designated representative hereby certifies that:
- (a) Offeror's prices submitted in response to RTX' solicitations for a firm-fixed-price subcontract or fixed-price subcontract with economic price adjustment have been arrived at independently, without, for the purpose of restricting competition, any consultation, communication, or agreement with any other Offeror or competitor relating to (i) those prices, (ii) the intention to submit and offer, or (iii) the methods or factors used to calculate the prices offered.
 - (b) Offeror's prices submitted in response to RTX' solicitation will not be knowingly disclosed by Offeror, directly or indirectly, to any other offeror or competitor before bid opening (in the case of a sealed bid solicitation) or contract award (in the case of a negotiated solicitation) unless otherwise required by law.
 - (c) No attempt has been made or will be made by Offeror to induce any other concern to submit or not to submit an offer for the purpose of restricting competition.

B.2. 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 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.3.1 FAR 52.204-10 (JUN 2020) – Reporting Executive Compensation and First-Tier Subcontract Awards (TAILORED)

Offeror: If a subcontract or Purchase Order award to **Offeror** has an expected value of \$300,000 or more in support of a prime contract, RTX 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.3.2., below and should proceed directly to Section B.4.

If **No**, **Offeror** must proceed to Section B.3.2., below, before continuing to Section B.4.

B.3.2. Total Compensation of Offeror's Executives (TAILORED)

(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 RTX 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.3.2., and may proceed directly to Section B.4.

(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.3.2., and may proceed directly to Section B.4.

CONTINUED**B.3.2. Total Compensation of Offeror's Executives (TAILORED)**

(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 <https://www.SEC.gov>.)

Yes No

If **Yes**, **Offeror** is not required to complete the remainder of this Section B.3.2. and may proceed directly to Section B.4.

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 RTX awards **Offeror** a subcontract or Purchase Order, **Offeror** shall update the information in this Section B.3.2 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 RTX **Offeror's** applicable and current information which RTX is required by law to report to the U.S. Government and which information will be made available to the public.

B.4. FAR 52.204-26 (DEC 2019) — Covered Telecommunications Equipment or Services-Representation (TAILORED)

- (a) **Definitions.** As used in this provision, "covered telecommunications equipment or services" has the meaning provided in the clause 52.204-25, "Prohibition on Contracting for Certain Telecommunications and Video Surveillance Services or Equipment."
- (b) **Procedures.** **Offeror** shall review the list of excluded parties in the System for Award Management ([SAM](#)) for entities excluded from receiving federal awards for "covered telecommunications equipment or services."
- (c) **Representation.** **Offeror** represents that it **Does**, (**Does Not**) provide "covered telecommunications equipment or services" as a part of its offered products or services to RTX in the performance of any Purchase Order issued under a USG contract at any tier.

B.5. FAR 52.209-5 (AUG 2020) — Certification Regarding Responsibility Matters (TAILORED)

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.
- (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.
- (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 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 RTX 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 RTX may render **Offeror** non-responsible.
- (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 RTX, RTX may terminate the subcontract or Purchase Order resulting from a solicitation for default.

B.6. FAR 52.209-7 (OCT 2018) — 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 (FAPIS) 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.
 - (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, which can be accessed via <https://www.SAM.gov> (see 52.204-7).

B.7. 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.8. 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);
- (b) It **has** **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.9. FAR 52.222-38 (FEB 2016) — Compliance with Veterans' Employment Reporting Requirements

- Offeror** hereby represents that if it is subject to the reporting requirements of 38 U.S.C. 4212(d) (i.e., if it has any contract containing Federal Acquisition Regulation clause 52.222-37, Employment Reports on Veterans), it has filed the most recent VETS-4212 Report required by that clause.

B.10. 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 **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, **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 RTX representative to whom this document was originally provided.

B.11. FAR 52.225-2 (MAY 2014) — Buy American Certificate (TAILORED)

The terms “commercially available off-the-shelf (COTS) item,” “component,” “domestic end product,” “end product,” “foreign end product,” and “United States” are defined in the FAR clause 52.225-1 Buy American—Supplies.

- Offeror** hereby acknowledges and agrees that by submission of its offer or delivery of goods to RTX that:
- (1) **Offeror** certifies that each end product is a domestic end product (for other than COTS items, **Offeror** has considered components of unknown origin to have been mined, produced, or manufactured outside the United States); **or**
 - (2) **Offeror** shall list by country of origin the foreign end products in each future proposal (**Offeror** shall list as foreign end products those end products manufactured in the United States that do not qualify as domestic end products, i.e., an end product that is not a COTS item and does not meet the component test in the definition of “domestic end product”).

B.12. FAR 52.225-4 (MAY 2014) — Buy American - Free Trade Agreements – Israeli Trade Act Certificate (TAILORED)

The terms “Bahrainian, Moroccan, Omani, Panamanian, or Peruvian end product,” “Bahrainian, Korean, Moroccan, Omani, Panamanian, or Peruvian end product”, “Canadian end product,” “commercially available off-the-shelf item,” “component,” “domestic end product,” “end product,” “foreign end product,” “Free Trade Agreement country,” “Free Trade Agreement country end product,” “Israeli end product,” and “United States” are defined in the FAR clause 52.225-3 Buy American—Free Trade Agreements—Israeli Trade Act including its Alternates.

- Offeror** hereby acknowledges and agrees that by submission of its offer or delivery of goods to RTX that:
- (1) **Offeror** certifies that each end product is a domestic end product (for other than COTS items, **Offeror** has considered components of unknown origin to have been mined, produced, or manufactured outside the United States); **or**

B.12. FAR 52.225-4 (MAY 2014) — Buy American - Free Trade Agreements – Israeli Trade Act Certificate (TAILORED)

- (2) **Offeror** certifies that each end product separately listed by country of origin is a Free Trade Agreement Country end product, Canadian end product, or Israeli end product; **or**
- (3) **Offeror** shall list by country of origin other foreign end products in each future proposal (**Offeror** shall list as foreign end products those end products manufactured in the United States that do not qualify as domestic end products, i.e., an end product that is not a COTS item and does not meet the component test in the definition of “domestic end product.”)

B.13. FAR 52.225-6 (MAY 2014) — Trade Agreements Certificate (TAILORED)

The terms “U.S.-made end product” and “designated country end product” are defined in the FAR clause 52.225-5 Trade Agreements.

- Offeror** hereby acknowledges and agrees that by submission of its offer or delivery of goods to RTX that:
- (1) **Offeror** certifies that each end product is a U.S.-made or designated country end product; **or**
- (2) **Offeror** shall list in each future proposal by country of origin those suppliers that are not U.S.-made or designated country end products.

B.14. DFARS 252.204-7012 (DEC 2019) – Safeguarding Covered Defense Information and Cyber Incident Reporting

Offeror: Read the definitions in (a) below and check the appropriate box in (b):

(a) **Definitions:**

- (1) “Covered defense information” means unclassified controlled technical information or other information, as described in the [Controlled Unclassified Information \(CUI\) Registry](#), that requires safeguarding or dissemination controls pursuant to and consistent with law, regulations, and Government wide policies, and is—
- (A) Marked or otherwise identified in the contract, task order, or delivery order and provided to the contractor by or on behalf of DoD in support of the performance of the contract; **or**
- (B) Collected, developed, received, transmitted, used, or stored by or on behalf of the contractor in support of the performance of the contract.
- (2) Controlled technical information means technical information with military or space application that is subject to controls on the access, use, reproduction, modification, performance, display, release, disclosure, or dissemination. Controlled technical information would meet the criteria, if disseminated, for distribution statements B through F using the criteria set forth in DoD Instruction 5230.24, Distribution Statements on Technical Documents. The term does not include information that is lawfully publicly available without restrictions.

- (b) **Certification:** Offeror confirms that it **is** (**is not**) currently capable of handling “Covered Defense Information” compliant with DFARS 252.204-7012, to include having a system security plan (or plans) and (if applicable) associated plans of action that meet requirements of NIST SP 800-171 Rev. 1 or any later applicable revision of NIST SP 800-171.

B.15. DFARS 252.204-7020 (NOV 2020) – NIST SP 800-171 DoD Assessment Requirements

RTX may not award a subcontract or other contractual instrument that is subject to NIST SP 800-171 security requirements in accordance with DFARS 252.204-7012, unless the subcontractor has completed within the last 3 years at least a basic NIST SP 800-171 DoD Assessment for all covered contractor information systems relevant to its offer that are not part of an information technology system operated on behalf of the Government. Pursuant to paragraph (g)(3) of DFARS 252.204-7020, if a subcontractor does not have summary level scores of a current NIST SP 800-171 DoD Assessment posted to the Supplier Performance Risk System (SPRS), the subcontractor may conduct and submit a Basic Assessment, in accordance with NIST SP 800-171 DoD Assessment Methodology, directly into [SPRS](#) or via encrypted email to webpasmh@navy.mil for posting to SPRS along with the information required by paragraph (d) of this clause. The Basic, Medium and High DoD Assessment methodologies are described [here](#).

- (a) Is **Offeror** subject to NIST SP 800-171 security requirements in accordance with DFARS 252.204-7012 (check only ONE)?

Yes No

If “Yes”, proceed to question (b). If “No”, proceed to Section B.16.

- (b) If **Offeror** checked “Yes” in paragraph (a) of this provision, **Offeror** represents that:

- (1) It has completed within the last 3 years and will maintain at least a current Basic Assessment for all covered contractor information systems related to its business with RTX that are not part of an information technology service or system operated on behalf of the Government; and
- (2) To the extent **Offeror** completed a Basic Assessment relevant to its business with RTX, **Offeror** has submitted, or will submit to the Government for posting to SPRS, the information required by paragraph (d) of DFARS 252.204-7020 prior to accepting a subcontract award or other contractual instrument from RTX (check only ONE):

Yes No

B.16. DFARS 252.204-7021 (NOV 2020) – Contractor Compliance with the Cybersecurity Maturity Model Certification Level Requirement

Requirements pertaining to Cybersecurity Maturity Model Certification (CMMC) are either anticipated or are now in place via a contract clause or RFP requirement. Suppliers must achieve CMMC certification at or above the required CMMC level before issuance of a Purchase Order (PO) or Letter of Subcontract (LSC). Suppliers who are required to receive, generate, or store Controlled Unclassified Information must achieve a CMMC Level 3 or higher certification before issuance of a PO or LSC. Answer the question below based on your organization’s current state regarding CMMC.

Offeror represents that it (Select only ONE of the following):

- 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.

B.16. DFARS 252.204-7021 (NOV 2020) Contractor Compliance with the Cybersecurity Maturity Model Certification Level Requirement

Suppliers that have been certified must provide:

(a) **Offeror's** certification level (Select only ONE):

- Level 1
- Level 2
- Level 3
- Level 4
- Level 5

(b) Name of accredited 3rd part assessor _____

(c) Date of expiration _____

Suppliers that have begun the certification process or intend to seek certification must provide:

(a) **Offeror's** intended minimum certification level (Select only ONE):

- Level 1
- Level 2
- Level 3
- Level 4
- Level 5

B.17. FAR 52.247-63; DFARS 252.247-7023 (JUN 2003) Preference for U.S. –Flag air carriers or U.S. – Flag vessels (TAILORED)

If an **Offeror** will be transporting U.S. Government financed property supplies by air or sea between a place in the United States and a place outside the United States or between two places both of which are outside the United States, **Offeror** hereby represents that it will be shipping via (check only ONE):

- Sea – Will utilize a U.S.-Flag vessel as defined in DFARS 252.247-7023
- Sea – Will request that RTX authorize a shipment in a foreign flag vessel if the **Offeror** believes that a U.S.-Flag vessel as defined DFARS 252.247-7023 is not available for timely shipment; freight charges are excessive or unreasonable; or freight charges are higher than charges to private persons for the transportation of like goods. Such request must be made at least 45 days prior to the sailing date necessary to meet its delivery schedule.
- Air – Will utilize a U.S.-Flag carrier as defined in FAR 52.247-63.
- Air – Will certify that a U.S.-Flag carrier as defined in FAR 52.247-63 was not available or it was necessary to use a foreign flag air carrier service for the following reason:

B.18. DFARS 252.204-7016 (DEC 2019) — Covered Defense Telecommunications Equipment or Services – Representation (TAILORED)

- (a) **Definitions.** As used in this provision, “covered defense telecommunications equipment or services” has the meaning provided in the clause 252.204-7018, Prohibition on the Acquisition of Covered Defense Telecommunications Equipment or Services.
- (b) **Procedures.** Offeror shall review the list of excluded parties in the System for Award Management ([SAM](#)) for entities excluded from receiving federal awards for “covered defense telecommunications equipment or services”.
- (c) **Representation.** Offeror represents that it **Does**, (**Does Not**) provide “covered defense telecommunications equipment or services” as a part of its offered products or services to RTX in the performance of any Purchase Order issued under a USG contract at any tier.

B.19. 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;

B.19. DFARS 252.209-7002 (JUN 2010) – Disclosure of Ownership or Control by a Foreign Government (TAILORED)

- (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.19.(a), above.

B.20. DFARS 252.225-7000 (NOV 2014) — Buy American-Balance of Payments Program Certificate (TAILORED)

The terms “Commercially available off-the-shelf (COTS) item,” “component,” “domestic end product,” “foreign end product,” “qualifying country,” “qualifying country end product,” “South Caucasus/Central and South Asian (SC/CASA) state,” “South Caucasus/Central and South Asian (SC/CASA) state end product,” and “United States,” as used in this provision, have the meanings given in the DFARS clause 252.225-7001 Buy American and Balance of Payments Program and its Alternates.

- Offeror** hereby acknowledges and agrees by submission of its offer or delivery of goods to RTX that:
- (1) **Offeror** certifies that each end product is a domestic end product (for end products other than COTS items, components of unknown origin are considered to have been mined, produced, or manufactured outside the United States or a qualifying country); **or**
 - (2) **Offeror** shall in each future proposal identify and certify country of origin for end products that are qualifying country end products or that are SC/CASA state end products **and**
 - (3) **Offeror** shall in each future proposal list and identify country of origin (if known) for end products that are other foreign end products, including end products manufactured in the United States that do not qualify as domestic end products, i.e., an end product that is not a COTS item and does not meet the component test in the definition of “domestic end product.”

B.21. DFARS 252.225-7009 (DEC 2019) — Restriction on Acquisition of Certain Articles Containing Specialty Metals (TAILORED)

- Offeror** agrees to comply with the DFARS Specialty Metals restrictions when delivering applicable product(s) under contracts with agencies of the Department of Defense (DOD).

Any specialty metals incorporated in items delivered under this contract shall be melted or produced in the United States, its outlying areas, or a qualifying country, or are subject to an available exception. DFARS 252.205-7009 must be included in subcontracts throughout the supply chain for items which include specialty metals (including subcontracts for commercial items). Reference the complete DFARS 252.225-7009 for details [here](#).

B.22. DFARS 252.225-7020 (NOV 2014) — Trade Agreements Certificate (TAILORED)

The terms “Designated country end product,” “nondesignated country end product,” “qualifying country end product,” “South Caucasus/Central and South Asian (SC/CASA) state,” “South Caucasus/Central and South Asian (SC/CASA) state end product,” and “U.S.-made end product” as used in this provision have the meanings given in the DFARS clause 252.225-7021 Trade Agreements and its Alternate.

- Offeror** hereby acknowledges and agrees that by submission of its offer or delivery of goods to RTX that:
- (1) **Offeror** certifies that each end product is a U.S.-made, qualifying country, SC/CASA state, or designated country end product; **or**
 - (2) **Offeror** shall in each future proposal list and identify country of origin for end products that are other nondesignated country end product.

B.23. DFARS 252.225-7035 (NOV 2014) – Buy American –Free Trade Agreements –Balance of Payments (TAILORED)

The terms “Bahrainian end product,” “Canadian end product,” “commercially available off-the-shelf (COTS) item,” “component,” “domestic end product,” “foreign end product,” “Free Trade Agreement country,” “Free Trade Agreement country end product,” “Moroccan end product,” “Panamanian end product,” “Peruvian end product,” “qualifying country end product,” “Korean end product,” “South Caucasus/Central and South Asian (SC/CASA) state,” “South Caucasus/Central and South Asian (SC/CASA) state end product,” and “United States,” as used in this provision have the meanings given in the DFARS clause 252.225-7036 Buy American—Free Trade Agreements--Balance of Payments Program and its Alternates.

- Offeror** hereby acknowledges and agrees that by submission of its offer or delivery of goods to RTX that:
- (1) **Offeror** certifies that each end product is a domestic end product (Components of unknown origin are considered to have been mined, produced, or manufactured outside the United States or a qualifying country); **or**
 - (2) **Offeror** shall in each future proposal identify and certify country of origin for end products that are (i) qualifying country end products (ii) Free Trade Agreement country end products or (iii) SC/CASA state end products; **and**
 - (3) list and identify country of origin (if known) for end products that are other foreign end products, including end products manufactured in the United States that do not qualify as domestic end products, i.e., an end product that is not a COTS item and does not meet the component test in the definition of “domestic end product.”

B.24. DFARS 252.225-7003 (OCT 2020) -- Report of Performance Outside of the United States and Canada (TAILORED)

- The **Offeror** certifies that it shall submit, with its offer, a report of intended performance outside the United States and Canada if:
- (1) The offer exceeds \$15 million in value; and
 - (2) The **Offeror** is aware that the **Offeror** or a first-tier subcontractor intends to perform any part of the contract outside the United States and Canada that –
 - (a) Exceeds \$750,000 in value, and
 - (b) Could be performed inside the United States or Canada

B.25. DFARS 252.225-7042 (APR 2003) — Authorization to Perform (TAILORED)

- Offeror** hereby represents that by submission of its offer to RTX or by its acceptance of RTX' subcontract or Purchase Order when subcontract performance will be wholly or in part in a foreign country that it has been duly authorized to operate and to do business in the country or countries in which the subcontract or Purchase Order is to be performed.

B.26. DFARS 252.225-7050 (DEC 2018) — 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 1754(c)(1)(A)(i) of the Export Control Reform Act of 2018 (Title XVII, Subtitle B, of the National Defense Authorization Act for Fiscal Year 2019, Pub. L. 115-232), 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: Iran, North Korea, 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.

(c) **Representation.** Unless **Offeror** submits with its offer the disclosure required in paragraph (d) of this provision, **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) **Offeror**;
- (2) A subsidiary of **Offeror**; **or**
- (3) Any other firm that owns or controls **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 **Offeror**; a subsidiary of **Offeror**; or any other firm that owns or controls **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 RTX 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 RTX 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: _____

Email: _____