



## ANNUAL SUPPLIER REGISTRATION DATA, REPRESENTATIONS AND CERTIFICATIONS

**Blank form is Company Use Only  
Completed Form is Most Private**

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

RTX Corporation and its affiliates and subsidiaries, including, but not limited to, Collins Aerospace, Pratt & Whitney, and Raytheon (collectively "RTX") must gather and maintain certain registration data from all Suppliers of goods and services to RTX. RTX must also gather additional representations and certifications from Suppliers 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.

### **Instructions for completion:**

- (a) All Suppliers must complete **Section A** (as applicable where indicated) and **Section C** in their entirety.
- (b) Any Suppliers who do (or want to) provide RTX with goods or services in support of a USG contract must also complete **Section B**.
- (c) Please consult your company's subject matter experts prior to answering any specific questions you are unfamiliar with (e.g., the legal department for foreign ownership questions in **Section B**, the IT department for cybersecurity questions in **Section B**, etc.)

### **Privacy Notice:**

RTX requests that Suppliers complete this form because the Supplier either has an existing business relationship or is under consideration for a business relationship with RTX. In conducting due diligence on this existing or possible business relationship, RTX must ask for some personal information for individuals related to the Supplier. For information about RTX's sharing, storage, and retention of personal information and about the rights of data subjects please see the RTX General Privacy Notice.

**What personal information does RTX collect?** The personal information that RTX collects is set forth below in this form. The questions have been tailored to seek only information that is relevant to RTX's compliance efforts. Additionally, RTX may obtain further information about the Supplier from the references and other parties identified in the Supplier's response. RTX may also need to contact the Supplier to resolve any issues that RTX identifies in the context of reviewing this form, such as to determine if the appropriate individuals have been identified.

**For what purpose will RTX use the personal information?** The information will be used and processed by RTX primarily to help achieve compliance with anti-corruption laws of the United States ("U.S.") and other jurisdictions. RTX may also use this personal information as set forth in the RTX General Privacy Notice.

**What else should Suppliers know?** Completion of this form is entirely voluntary; however, failure to complete any part of this form may preclude RTX from continuing or commencing to do business with the Supplier. If there is a concern about providing personal information or if there are any questions about data privacy related to this form, consult with your RTX business contact. The Supplier is responsible for ensuring that any personal information it provides in this form is provided in a compliant manner, including (where applicable) obtaining consent from and providing notice to data subjects.

☐ Supplier acknowledges that it has read the above Privacy Notice and the RTX General Privacy Notice and hereby certifies that all data subjects identified herein have consented to providing their personal information in connection with this form (where applicable).

**Note:** *Some of the certifications and representations herein are similar to those solicited via the USG's representations and certifications database ([SAM.gov](https://sam.gov)). However, a Supplier'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 RTX to collect additional representations and certifications from Supplier that are not collected in this form.*



**CONTINUED****A.1. Part I: Business name and location(s)**

- (b) Supplier's physical business location information (complete if different from the address provided in (a) above):

Business name:

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DBA or division (if applicable)

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Supplier's physical location address  
(number, street, apt., or suite):

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City, county, and state:

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Congressional District (if applicable)

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Country:

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Zip+4 or postal code:

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Supplier's physical location DUNS number, if  
different than given above: –  – Supplier's physical location UEI number, if different  
than given above:Supplier's physical location CAGE/NCAGE Code,  
if different than given above:

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Email:

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Telephone:

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- (c) Supplier's primary performance location information (complete if different from the address provided in (a) or (b) above):

Business name:

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DBA or division (if applicable)

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Supplier's primary performance location physical  
address (number, street, apt., or suite):

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City, county, and state:

---

Congressional District (if applicable)

---

Country:

---

Zip+4 or postal code:

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Supplier's primary performance location DUNS  
number, if different than given above: –  – Supplier's primary performance location UEI  
number, if different than given above:Supplier's primary performance location  
CAGE/NCAGE Code, if different than given above:

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Email:

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Telephone:

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**CONTINUED****A.1. Part I: Business name and location(s)**

(d) Does Supplier have performance locations in addition to the locations provided above?

☐ Yes ☐ No

If **Yes**, Supplier acknowledges and agrees to provide RTX with the actual performance location address applicable to each subcontract or purchase order ("PO") issued by RTX in Supplier's offer at the time of solicitation.

**A.1. Part II: Foreign Account Tax Compliance Act ("FATCA")**

(a) **Supplier's Foreign or U.S. Person Status:**

☐ Supplier is a Foreign Person as defined by the Internal Revenue Service ("IRS") or

☐ Supplier 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 U.S. or under the laws of the U.S.;
- An estate (other than a non-U.S. estate); or
- A domestic trust (as defined in 26 CFR 301.7701-7).

If Supplier is a U.S. Person as defined by the IRS (see above), enter Supplier's Employer Identification Number (EIN):

EIN:  -

(b) **FATCA Exemptions:** (see instructions to Form W-9 available from the IRS):

- (a) Exempt payee code (if any)
- (b) Exemption from FATCA reporting code (if any) \_\_\_\_\_

(c) **FACTA Certifications:** *Supplier hereby certifies, under penalties of perjury, that:*

☐ *the FATCA code entered above (if any) indicating it is exempt from FATCA reporting is correct;*

☐ *it is a U.S. Person as defined by the IRS (see above);*

☐ *its TIN provided above is correct (or ☐ it is waiting for a TIN to be issued); and*

☐ *it is not subject to backup withholding because:*

*(1) it is exempt from backup withholding; or*

*(2) it has not been notified by the IRS that it is subject to backup withholding due to a failure to report all interest or dividends; or*

*(3) The IRS has notified it that it is no longer subject to backup withholding.*

**A.1. Part III: Income Source (Applicable only to Non-U.S. Suppliers)**

(a) Select only ONE of the following:

☐ Supplier does not have U.S. source income (must also complete Section A.1. Part III (b) below ); or

☐ Supplier derives U.S. source income (reference Table 1, below) and acknowledges that:

(1) Supplier is responsible for completing the appropriate form because:

- (i) Supplier is the recipient of an amount subject to U.S. withholding tax under Internal Revenue Code ("I.R.C.") Section 1441 or 1442; or

**CONTINUED****A.1. Part III: Income Source (Applicable only to Non-U.S. Suppliers)**

- (ii) Supplier is the recipient of U.S. source income that may be subject to FATCA withholding / reporting under I.R.C. Section 1471 through 1474.

*(Links for IRS forms and instructions are provided below.)*

- (2) Supplier shall submit the completed appropriate W-8 to RTX prior to award of the PO; and
- (3) Supplier's income is derived as follows: \_\_\_\_\_% U.S. source \_\_\_\_\_% (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 non-U.S. Suppliers**

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, etc.	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) Supplier represents that the income reported as a non-U.S. source in Section A.1. Part III (a) above 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 as a result of royalties from patents, copyrights, etc., produced at \_\_\_\_\_ (enter N/A if no income is derived from royalties).

- (c) Has Supplier been either a corporation that was incorporated in the U.S. or a partnership that used to be in the U.S.? ☐ **Yes** ☐ **No**

- (d) Is Supplier a subsidiary whose parent corporation is incorporated in a non-U.S. country?

☐ **Yes** ☐ **No**

**A.1. Part IV: Business information**

- (a) Are any of supplier's top 5 most highly compensated executives citizens of any of the following countries that are subject to sanctions by the United States: Belarus, Cuba, Iran, North Korea, Russia, and Syria? (Compensation is based on compensation amounts paid in supplier's fiscal year immediately preceding the date of supplier's certification in Section C hereof.) ☐ **Yes** ☐ **No**
- (b) Supplier's Federal Tax Classification for Information Reporting (Select ONE):
- ☐ Individual / Sole Proprietor or Single Member Limited Liability Company
  - ☐ Corporation (C or S)
  - ☐ Partnership
  - ☐ Trust / Estate
  - ☐ Government Agency (Federal, non-U.S. or State)
  - ☐ Nonprofit Organization
  - ☐ Limited Liability Company (tax classification: C Corporation)
  - ☐ Limited Liability Company (tax classification: S Corporation)
  - ☐ Limited Liability Company (tax classification: Partnership)
  - ☐ Non-U.S. Entity (Complete applicable W-8)
- (c) For Individual / Sole Proprietor, Single Member LLC, Partnership, Trust / Estate, Nonprofit Organization, or Limited Liability Partnership Only: Supplier'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
  - ☐ None of the above \_\_\_\_\_
- (d) For Nonprofit Organizations only: Supplier represents that:
- (1) It is organized as a: ☐ 501(c)(3) ☐ 501(c)(4) ☐ 501(c)6 ☐ Other \_\_\_\_\_
- (2) It ☐ **does** (☐ **does not**) engage in lobbying.
- (e) Supplier's business type (check only ONE) (See the Supplier User and Administrator Guide for 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 and Non-Franchised Distributor
- (f) Supplier represents and certifies that it is a (check only ONE):
- ☐ Large Business
  - ☐ Large Business that can also certify as Small for specific North American Industry Classification System ("NAICS") codes, as defined by the Small Business Administration ("SBA").
  - ☐ Small Business, as defined by the SBA
  - ☐ Non-U.S. Entity

**CONTINUED****A.1. Part IV: Business information**

(g) In support of FAR 52.226-1 Utilization of Indian Organizations and Indian-Owned Economic Enterprises, and DFARS 252.226-7001 Utilization of Indian Organizations, Indian-Owned Economic Enterprises, Native Hawaiian Small Business Concerns, Supplier represents that it is (Check all that apply, as defined in the cited FAR and DFARS clauses):

- ☐ Indian organization  
☐ Indian-owned economic enterprise  
☐ Native Hawaiian small business concern  
☐ Not applicable

(h) In support of RTX's Small Business Program reporting obligations to the U.S. government (FAR 52.219-9 Small Business Subcontracting Plan), Supplier represents that it is (Check all that apply):

- ☐ Historically Black College / Minority Institution (as defined in FAR 2.101)  
☐ Indian Tribe (as defined in FAR 52.219-9)  
☐ Alaskan Native Corporation (as defined in FAR 52.219-9)  
☐ Not applicable

**A.2. Part I: FAR 52.219-1 Small Business Program Representations (TAILORED)**

Applicable to Small Business Suppliers and Large Businesses certifying as a Small Business for specific NAICS codes.

**(a) Size Standards:**

- (1) The small business size standards that apply to the representations of Supplier in Subsection (c) below are as defined by 13 CFR part 121.  
 (2) 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) **Certification.** ☐ Supplier 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 Supplier offer to RTX. Supplier further acknowledges and agrees that Supplier's signature in **Section C, "Authorized Signature of Supplier"** below, is applicable to all of the representations of Supplier set forth in this Section A.2. Part I.

**(c) Representations:**

- (1) Select the number of employees and average annual receipts applicable to Supplier's business concern. See the SBA Size Standards Guide for assistance in understanding the applicable size for Supplier's business as defined by the SBA.

Number of employees:

- |  |  |                                    |                                      |
|--|--|------------------------------------|--------------------------------------|
| <input type="checkbox"/> 1 – 49        | <input type="checkbox"/> 50 – 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 – 1,000 |
| <input type="checkbox"/> 1,001 – 1,250 | <input type="checkbox"/> 1,251 – 1,500 | <input type="checkbox"/> 1,500+    |                                      |

Average 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+       |  |  |  |





**CONTINUED****A.2. Part II: FAR 52.219-1 — Small Business Program Representations (TAILORED)**

- (3) “Service-disabled veteran-owned small business” (“SDVOSB”) concern eligible under the SDVOSB Program means an SDVOSB concern that—
- (i) Effective January 1, 2024, is designated in SAM.gov as certified by the SBA in accordance with 13 CFR 128.300; or
  - (ii) Has represented that it is an SDVOSB concern in SAM.gov and submitted a complete application for certification to SBA on or before December 31, 2023.
- (4) “SDVOSB Program” means a program that authorizes contracting officers to limit competition, including award on a sole-source basis, to SDVOSB concerns eligible under the SDVOSB Program.
- (5) “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 Section A.2. Part I(a) above.
- (6) “Small disadvantaged business concern, consistent with 13 CFR 124.1001,” means a small business concern under the size standard applicable to the acquisition, that –
- (i) Is at least 51% unconditionally and directly owned (as defined at 13 CFR 124.105) by –
    - (A) 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 U.S., and
    - (B) Each individual claiming economic disadvantage has a net worth not exceeding \$850,000 after taking into account the applicable exclusions set forth at 13 CFR 124.104(c)(2); and
  - (ii) The management and daily business operations of which are controlled (as defined at 13 CFR 124.106) by individuals who meet the criteria in Subsection (6)(i) of this definition.
- (7) “Veteran-owned small business concern” means a small business concern—
- (i) Not less than 51% 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% 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.
- (8) “Women-owned small business concern” means a small business concern—
- (i) That is at least 51% owned by one or more women; or, in the case of any publicly owned business, at least 51% 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.
- (b) For Suppliers representing themselves as a small business concern in Section A.1 Part IV above, indicate whether Supplier:
- (1) ☐ **is** (☐ **is not**) a small disadvantaged business concern as defined in 13 CFR 124.1001;
  - (2) ☐ **is** (☐ **is not**) a women-owned small business concern;
  - (3) ☐ **is** (☐ **is not**) a veteran-owned small business concern;
  - (4) ☐ **is** (☐ **is not**) a SDVOSB listed, on the date of this representation, as having been certified by the SBA as a SDVOSB concern in the SBA Dynamic Small Business Search and SAM.gov. Each SDVOSB concern must provide RTX with a separate signed copy of its SBA SDVOSB concern representation;
  - (5) ☐ **is** (☐ **is not**) a HUBZone small business concern listed, on the date of this representation, as having been certified by the SBA as a HUBZone small business concern in the SBA Dynamic Small Business Search and SAM.gov, and will attempt to maintain an employment rate of HUBZone residents of 35 percent of its employees during performance of a HUBZone contract(see 13 CFR 126.200(e)(1)); and

**CONTINUED****A.2. Part II: FAR 52.219-1 — Small Business Program Representations (TAILORED)**

- (6) ☐ is (☐ is not) a HUBZone joint venture that complies with the requirements of 13 CFR 126.616(a) through (c), and the representation in Subsection (b)(5) of this provision is accurate for the HUBZone small business concern participating in the joint venture. Supplier shall enter the name and UEI of each party to the joint venture: \_\_\_\_\_

\_\_\_\_ (If “is Not HUBZone” was selected, enter N/A or leave blank).

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

- (c) **Notice regarding misrepresentations.** Under 15 U.S.C. 645(d), any person who misrepresents the status of any concern or person as a small business concern, a qualified HUBZone small business concern, a small business concern owned and controlled by service-disabled veterans, a small business concern owned and controlled by veterans, a small business concern owned and controlled by socially and economically disadvantaged individuals, or a small business concern owned and controlled by women, in order to obtain for oneself or another a subcontract or PO pursuant to the Small Business Act (the “Act”) or any other provision of Federal law, shall be subject to penalties and remedies imposed by the U.S. government as described below:

- (1) Punished by imposition of fine, imprisonment, or both;
- (2) Subject to administrative remedies, including suspension and debarment; and
- (3) Ineligible for participation in programs conducted under the authority of the Act.

**A.2. Part III: FAR 52.219-1 Alternate I — Small Business Program Representations (TAILORED)**

For Suppliers representing themselves as a small disadvantaged business in Section A.2. Part II(b) above, indicate the category in which Supplier’s ownership falls, otherwise leave blank.

Select only ONE of the following:

- ☐ Black American
- ☐ Hispanic American
- ☐ Native American (American Indians, Eskimos, Aleuts, or Native Hawaiians)
- ☐ Asian-Pacific American+
- ☐ Subcontinent Asian (Asian-Indian) American++
- ☐ Individual concern, other than one of the preceding

+ 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.3. Code of Business Ethics; Protection of Human Rights; Conflict of Interest; Business Records**

- (a) Supplier certifies that it:

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

(Check only ONE): ☐ Yes ☐ No

**CONTINUED****A.3. Code of Business Ethics; Protection of Human Rights; Conflict of Interest; Business Records**

If **No**, provide an explanation including an alternative plan to ensure compliance with the RTX Supplier Code of Conduct: \_\_\_\_\_

- (b) Supplier certifies that it has policies and procedures in place to promote the protection of human rights within its operations, including working conditions that are healthy, safe, and free from harassment and discrimination, and prohibit all forms of child labor, forced labor, or human trafficking in connection with the goods and services it provides to its customers.

(Check only ONE): ☐ Yes ☐ No

If **No**, provide an explanation of how human rights are protected within its operations: \_\_\_\_\_

- (c) Supplier certifies that it has a process to detect and mitigate actual or potential conflicts of interest, including but not limited to those related to current or former employment by a third-party organization, conflicting roles that might bias Supplier's judgment, or circumstances that may create an unfair competitive advantage for Supplier. Conflicts of interest include those described in FAR 9.5 Organizational and Consultant Conflicts of Interest.

(Check only ONE): ☐ Yes ☐ No

If **No**, provide an explanation of how potential conflicts of interest are avoided or detected: \_\_\_\_\_

- (d) Supplier 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

If **No**, provide an explanation of how accurate business records are maintained: \_\_\_\_\_

**A.4. U.S. Department of State Directorate of Defense Trade Controls ("DDTC") Registration Representation (see 22 CFR part 122 and 22 CFR part 129)**

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

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

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

Registration effective date: \_\_\_\_\_

Registration expiry date: \_\_\_\_\_

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

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

Registration submission date: \_\_\_\_\_

**A.5. DFARS 252.209-7002 - Disclosure of Ownership or Control by a Foreign Government (TAILORED)**

(a) **Definitions:** As used in this Section:

- (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 the Supplier's officers or a majority of the Supplier'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" means (1) any domestic or foreign organization or corporation that is effectively owned or controlled by a foreign government; or (2) any individual acting on behalf of a foreign government, but 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 (1) Top Secret information; (2) Communications security (COMSEC) material, excluding controlled cryptographic items when unkeyed or utilized with unclassified keys; (3) Restricted Data as defined in the U.S. Atomic Energy Act of 1954, as amended; (4) Special Access Program (SAP) information; or (5) Sensitive Compartmented Information (SCI).

(b) **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 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). Completion of this disclosure by Suppliers who do (or want to) provide RTX with goods or services in support of a USG contract will satisfy the requirements of DFARS 252.209-7002.

(c) **Disclosure:** Supplier shall disclose below any interest a foreign government has in Supplier when that interest constitutes control by a foreign government. If Supplier 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 Supplier's immediate parent, intermediate parents, and the ultimate parent.

(1) ☐ Supplier has no disclosures to make in accordance with this Section; or

(2) ☐ Supplier provides the following disclosures:

Name of foreign government entity: \_\_\_\_\_

Address of entity controlled by a foreign government: \_\_\_\_\_

Description of interest: \_\_\_\_\_

Ownership percentage: \_\_\_\_\_

Identification of foreign government: \_\_\_\_\_

(d) **Reporting:** If Supplier has a contract with RTX with a value in excess of \$5 Million, Supplier must submit a standard form 328 to the U.S. government.

## Section B: Supplier Representations and Certifications Required for Work to be Performed Under USG Contracts

### B.1. FAR 52.203-2— Certificate of Independent Price Determination (TAILORED)

☐ Supplier certifies that:

- (a) Supplier's prices submitted in response to RTX's 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 Supplier 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) Supplier's prices submitted in response to an RTX solicitation will not knowingly be disclosed by Supplier, directly or indirectly, to any other Supplier 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; and
- (c) No attempt has been made or will be made by Supplier 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 — Certification and Disclosure Regarding Payments to Influence Certain Federal Transactions (TAILORED)

☐ Supplier'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 FAR 52.203-12 entitled "Limitation on Payments to Influence Certain Federal Transactions".
- (b) **Prohibition.** The prohibition and exceptions contained in FAR 52.203-12 entitled "Limitation on Payments to Influence Certain Federal Transactions" are hereby incorporated by reference in this provision.
- (c) **Certification.** Supplier 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 PO, 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 Supplier with respect to a subcontract or PO, or the prime contract it is awarded under, Supplier shall complete and submit, with each offer to RTX, OMB Standard Form LLL, Disclosure of Lobbying Activities, to provide the name of the registrants. Supplier need not report regularly employed officers or employees of Supplier 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 PO imposed by 31 U.S.C. 1352. Any person who makes an expenditure prohibited under FAR 52.203-12 or who fails to file or amend the disclosure required to be filed or amended by FAR 52.203-12, 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. FAR 52.204-10 — Reporting Executive Compensation and First-Tier Subcontract Awards (TAILORED)

If a first-tier subcontract or PO award to Supplier has an expected value of \$40,000 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.

- (a) **Definitions.** As used in this provision "executive" means officers, managing partners, or any other employees in management positions of Supplier. "First-tier subcontract" means a subcontract or PO awarded directly by the prime contractor (RTX) to Supplier to furnish supplies or services (including

**CONTINUED****B.3. FAR 52.204-10 — Reporting Executive Compensation and First-Tier Subcontract Awards (TAILORED)**

construction) for performance of a prime contract. "Total compensation" means the cash and non-cash dollar value earned by the executive during Supplier'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) Has Supplier had gross income under \$300,000 in the previous tax year?

☐ **Yes** ☐ **No**

If "**Yes**," Supplier is not required to complete this the remainder of this Section B.3. and may proceed directly to Section B.4.

If "**No**," Supplier must proceed to (c) below.

(c) In Supplier's preceding fiscal year, did Supplier 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**," Supplier must proceed to (e) below.

If "**No**," Supplier is not required to complete the remainder of this Section B.3. and may proceed directly to Section B.4.

(d) In Supplier's preceding fiscal year, did Supplier receive 80% 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**", Supplier must proceed to (d) below.

If "**No**," Supplier is not required to complete the remainder of this Section B.3. and may proceed directly to Section B.4.

(e) 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 I.R.C. of 1986? To determine if the public has access to the compensation information, see the total compensation filings at [U.S. Security and Exchange Commission](#).

☐ **Yes** ☐ **No**

If "**Yes**," Supplier is not required to complete the remainder of this Section B.3. and may proceed directly to Section B.4.



**CONTINUED****B.3. FAR 52.204-10 — Reporting Executive Compensation and First-Tier Subcontract Awards (TAILORED)**

If “No,” Supplier must proceed to (f), below.

(f) Supplier shall either:

- (1) ☐ Provide in the space below the names and total compensation of each of Supplier’s five most highly compensated executives for Supplier’s completed fiscal year preceding the date specified in Section C below. If RTX awards Supplier a subcontract or PO, Supplier shall update the information in this Section B.3. for Supplier’s fiscal year preceding the date of award of such subcontract or PO:

**Executive name:**

**Executive total compensation:**

_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

Or

- (2) ☐ Supplier hereby acknowledges and agrees that Supplier shall, at the time of a subcontract award that is subject to FAR 52.204-10, provide RTX Supplier’s applicable and current information which RTX is required by law to report to the USG and which information will be made available to the public.

**B.4. FAR 52.204-24 – Certain Telecommunications and Video Surveillance Services or Equipment – Representation; FAR 52.204-26 — Covered Telecommunications Equipment or Services - Representation; and DFARS 252.204-7016 — Covered Defense Telecommunications Equipment or Services - Representation (TAILORED)**

- (a) **Definitions.** As used in these provisions, “covered telecommunications equipment or services” has the meaning provided in FAR 52.204-25, Prohibition on Contracting for Certain Telecommunications and Video Surveillance Services or Equipment. “Covered defense telecommunications equipment or services” has the meaning provided in DFARS 252.204-7018, Prohibition on the Acquisition of Covered Defense Telecommunications Equipment or Services.
- (b) **Procedures.** Supplier shall review the list of excluded parties in [SAM.gov](https://sam.gov) for entities excluded from receiving federal awards for covered telecommunications equipment or services and covered defense telecommunications equipment or services.
- (c) **Representation.** Supplier represents that:
- (1) Per FAR 52.204-26, it ☐ **does** (☐ **does not**) provide covered telecommunications equipment or services as a part of any offered products or services to RTX in the performance of any PO issued under a USG contract at any tier;
- (2) Per DFARS 252.204-7016, it ☐ **does** (☐ **does not**) provide covered defense telecommunications equipment or services as a part of any offered products or services to RTX in the performance of any PO issued under a USG contract at any tier; and
- (3) Per FAR 52.204-24, it ☐ **will** (☐ **will not**) provide covered telecommunications equipment or services as a part of any offered products or services to RTX in the performance of any PO issued under a USG contract at any tier.
- (i) If Supplier has responded “will not” in Subsection (c)(3) above, Supplier is not required to complete the remainder of this Section B.4 and may proceed directly to Section B.5. Otherwise, proceed to the Disclosures in Subsection (ii) below.
- (d) **Disclosures.** ☐ If Supplier has responded “will” in Subsection (c)(3) above, Supplier shall provide the required disclosures in any offer to RTX as set forth in FAR 52.204-24(e)(1).

**B.5. DFARS 252.204-7012 — Safeguarding Covered Defense Information and Cyber Incident Reporting**

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

**(a) Definitions:**

- (1) “Adequate security” means protective measures that are commensurate with the consequences and probability of loss, misuse, or unauthorized access to, or modification of information.
- (2) “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 U.S. government wide policies, and is:
  - (i) Marked or otherwise identified in the contract, task order, or delivery order and provided to the contractor by or on behalf of Department of Defense (DOD) in support of the performance of the contract; or
  - (ii) Collected, developed, received, transmitted, used, or stored by or on behalf of the contractor in support of the performance of the contract.
- (3) “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:** Supplier certifies that it ☐ **is** (☐ **is not**) currently capable of providing adequate security for covered defense information compliant with DFARS 252.204-7012, which includes having a system security plan and, if applicable, associated plans of action that meet requirements of NIST SP 800-171.

**B.6. DFARS 252.204-7020 — NIST SP 800-171 DOD Assessment Requirements****(a) Definitions.**

- (1) “Covered contractor information system” means an unclassified information system that is owned, or operated by or for, a contractor and that processes, stores, or transmits covered defense information.
- (2) “Covered defense information” is defined in Section B.5 above.

**(b) Representation.** Supplier represents that:

- (1) It has completed within the last three years at least a Basic NIST SP 800-171 DoD Assessment, as described in DFARS 252.204-7020(g)(2), for all covered contractor information systems (that are not part of an information technology service or system operated on behalf of the U.S. government) to be used by Supplier in performance of the work Supplier proposes to perform for RTX; and
- (2) To the extent Supplier completed a Basic NIST SP 800-171 DoD Assessment within the last three years, Supplier has submitted to DoD for posting to the DoD’s Supplier Performance Risk System (SPRS), the score and other information required by DFARS 252.204-7020(d) prior to accepting a subcontract award or other contractual instrument from RTX:

☐ **Yes** ☐ **No**

If “**Yes**”, Supplier is not required to complete the remainder of this Section B.6 and may proceed to Section B.7.

If “**No**”, proceed to Subsection (c) below.

- (c) Supplier intends to complete DoD Assessment requirements and is working to complete implementation of the NIST SP 800-171 controls, the Assessment, and any related plans of action:

☐ **Yes** ☐ **No**



## B.7. DFARS 252.204-7021 — Cybersecurity Maturity Model Certification (CMMC) Requirements (TAILORED)

- (a) **Definitions.** “Controlled Unclassified Information (CUI)” and “Federal Contract Information (FCI)” are defined in DFARS 252.204-7021.
- (b) **Requirements.** RTX must ensure that Suppliers have completed a CMMC self-assessment or obtained a CMMC certificate from an authorized or accredited CMMC 3<sup>rd</sup> Party Assessment Organization (C3PAO), or from the Defense Industrial Base Cybersecurity Assessment Center (DIBCAC), for each of the Supplier’s information systems that will process, store, or transmit FCI or CUI and that are used in the performance of work for RTX. Supplier’s CMMC self-assessment or certification must be at or above the required CMMC status level that is appropriate for the FCI or CUI information that is processed, stored, or transmitted (as defined in 32 CFR 170.4) in performance of work for RTX for each subcontract or other contractual instrument. Accordingly, if in performance of such work, Supplier will process, store, or transmit:
- (1) FCI only (no CUI), then a CMMC Status Level 1 (Self) is the minimum requirement;
  - (2) CUI, then a CMMC Status of Level 2 (Self) is the minimum requirement; and
  - (3) CUI, and the associated prime contract has a requirement for a CMMC Level 2 (C3PAO) or CMMC Level 3 (DIBCAC), then CMMC Level 2 (C3PAO) is the minimum requirement.
- (c) **Representation.** Answer all applicable questions below based on your organization’s current and intended CMMC status for the information system(s) that will process, store, or transmit FCI or CUI in performance of work for RTX. Supplier represents that it:
- (1) Has completed a CMMC Self-Assessment or obtained a C3PAO or DIBCAC CMMC certificate and recorded such status in SPRS (choose current CMMC level):
    - ☐ Level 1 (Self) within last 1 year, for each system that will process, store or transmit FCI, with no changes in compliance with the requirements since that date. NOTE: POA&Ms are not allowed.
    - ☐ Level 2 (Self) within the last 3 years, for each system that will process, store or transmit CUI, with no changes in compliance with the requirements since that date.
    - ☐ Level 2 (C3PAO) within the last 3 years, for each system that will process, store or transmit CUI, with no changes in compliance with the requirements since that date.
    - ☐ Level 3 (DIBCAC) within the last 3 years, for each system that will process, store or transmit CUI, with no changes in compliance with the requirements since that date.

Date of expiration: \_\_\_\_\_

  - ☐ None; has not completed a CMMC self-assessment nor obtained a CMMC certificate.
- (2) Maintains on an annual basis, an affirmation, in SPRS, by an affirming official (see 32 CFR 170.4) of continuous compliance with the requirements associated with the CMMC level required for the subcontract or other contractual instrument for the subcontractor information system(s) annotated above in question (1) that process, store, or transmit FCI or CUI and that are used in performance of the subcontract.
  - (3) Intends to complete a CMMC self-assessment or obtain a CMMC certificate (choose highest CMMC level intended):
    - ☐ Level 1 (Self)
    - ☐ Level 2 (Self)
    - ☐ Level 2 (C3PAO)
    - ☐ Level 3 (DIBCAC)

For Intended CMMC Level, please insert target completion date: \_\_\_\_\_

  - ☐ None; does not intend to complete a CMMC self-assessment or obtain a CMMC certificate.

## **B.8 FAR 52.204-29 — Federal Acquisition Supply Chain Security Act (FASCSA) Orders--Representation and Disclosures (TAILORED)**

- (a) **Definitions.** As used in this provision, "covered article", "FASCSA order", "reasonable inquiry", and "source" have the meaning provided in FAR 52.204-30, Federal Acquisition Supply Chain Security Act Orders—Prohibition.
- (b) **Prohibition.** Contractors are prohibited from providing or using as part of the performance of the contract any covered article, or any products or services produced or provided by a source, if the prohibition is set out in an applicable FASCSA order, as described in section (b)(1) of FAR 52.204-30.
- (c) **Certification.** ☐ Supplier certifies that by submission of any offer to RTX it has conducted a reasonable inquiry, and either:
- (1) Supplier does not propose to provide or use in response to the RTX solicitation any covered article, or any products or services produced or provided by a source, if the covered article or the source is prohibited by an applicable FASCSA order in effect on the date RTX issued the solicitation, except as waived by the solicitation; or
  - (2) As part of any offer to RTX, Supplier will disclose any covered article, or any products or services produced or provided by a source, if the covered article or the source is subject to an applicable FASCSA order, pursuant to paragraph (e) of FAR 52.204-29.

## **B.9. FAR 52.209-5 — Certification Regarding Responsibility Matters (TAILORED)**

- (a) **Definitions.** "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).
- (b) **Certification.** Supplier certifies, to the best of its knowledge and belief, that:
- (1) Supplier and/or any of its Principals:
    - (i) ☐ **Are** (☐ **Are not**) presently debarred, suspended, proposed for debarment, or declared ineligible for the award of contracts by any Federal agency;
    - (ii) ☐ **Have** (☐ **Have not**), within a three-year period preceding any offer to RTX, 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 Supplier checks "have", see also FAR 52.209-7);
    - (iii) ☐ **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 Subsection (b)(1)(ii) of this provision.
    - (iv) ☐ **Have** (☐ **Have not**) within a three-year period preceding any offer to RTX, been notified of any delinquent Federal taxes in an amount that exceeds \$10,000 for which the liability remains unsatisfied.
  - (A) Federal taxes are considered delinquent if both of the following criteria apply:
    - (1) 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; and
    - (2) 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.

**CONTINUED B.9. FAR 52.209-5 — Certification Regarding Responsibility Matters (TAILORED)****(B) Examples:**

- (1) The taxpayer has received a statutory notice of deficiency, under 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.
  - (2) 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.
  - (3) 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.
  - (4) 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).
- (v) ☐ **Has** (☐ **Has not**) within a three-year period preceding this offer, had one or more contracts terminated for default by any federal agency.

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

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

**B.10. FAR 52.209-7 — Information Regarding Responsibility Matters****(a) Definitions:**

- (1) "Administrative proceeding" means a non-judicial process that is adjudicatory in nature 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

**CONTINUED B.10. FAR 52.209-7 — Information Regarding Responsibility Matters**

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.

(2) “Federal contracts and grants with total value greater than \$10,000,000” means:

- (i) The total value of all current, active contracts and grants, including all priced options; and
- (ii) 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).

(3) “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) Supplier ☐ **has** (☐ **does not have**) current active Federal contracts and grants with total value greater than \$10,000,000.

(c) If Supplier checked “**has**” in Subsection (b) of this provision, Supplier represents that the information it has entered in the Federal Awardee Performance and Integrity Information System (“FAPIIS”) is current, accurate, and complete as of the date of submission of this form with regard to the following information:

(1) Whether Supplier, and/or any of its principals, has or has not, within the last five years, in connection with the award to or performance by Supplier 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 Subsections (c)(1)(i), (c)(1)(ii), or (c)(1)(iii) of this provision.

(2) If Supplier has been involved in the last five years in any of the occurrences listed in Subsection (c)(1) of this provision, whether Supplier has provided the requested information with regard to each occurrence.

(d) Supplier shall post the information in Subsections (c)(1)(i) through (c)(1)(iv) of this provision in FAPIIS as required through maintaining an active registration in SAM.gov (see FAR 52.204-7).

**B.11. DFARS 252.209-7012 — Prohibition Relating to Conflicts of Interest in Consulting Services - Certification (TAILORED)****(a) Definitions.**

(1) “Consulting services” means advisory and assistance services, excluding the provision of products or services related to:

- (i) Compliance with legal, audit, accounting, tax, reporting, or other requirements of the laws and standards of countries; or
- (ii) Participation in a judicial, legal, or equitable dispute resolution proceeding.

(2) “Covered contract” means a DoD contract involving consulting services.

**CONTINUED****B.11. DFARS 252.209-7012 — Prohibition Relating to Conflicts of Interest in Consulting Services - Certification (TAILORED)**

(3) “Covered foreign entity” means any of the following:

- (i) The government of the People's Republic of China, the Chinese Communist Party, the People's Liberation Army, the Ministry of State Security, or other security service or intelligence agency of the People's Republic of China.
- (ii) The government of the Russian Federation or any entity sanctioned by the Secretary of the Treasury under Executive Order 13662, Blocking Property of Additional Persons Contributing to the Situation in Ukraine.
- (iii) The government of any country if the Secretary of State determines that such government has repeatedly provided support for acts of international terrorism pursuant to any of the laws set forth in:
  - (A) Section 1754(c)(1)(A) of the Export Control Reform Act of 2018 (50 U.S.C. 4318(c)(1)(A)).
  - (B) Section 620A of the Foreign Assistance Act of 1961 (22 U.S.C. 2371).
  - (C) Section 40 of the Arms Export Control Act (22 U.S.C. 2780).
  - (D) Any other provision of law.
- (iv) Any entity included on any of the following lists maintained by the Department of Commerce (see the Export Administration Regulations at 15 CFR subchapter C):
  - (A) The Entity List in supplement no. 4 to 15 CFR part 744.
  - (B) The Denied Persons List as described in 15 CFR 764.3(a)(2).
  - (C) The Unverified List in supplement no. 6 to 15 CFR part 744.
  - (D) The Military End User List in supplement no. 7 to 15 CFR part 744.
- (v) Any entity identified by the Secretary of Defense pursuant to Section 1237(b) of the National Defense Authorization Act for Fiscal Year 1999 (Pub. L. 105-261; 50 U.S.C. 1701 note).
- (vi) Any entity on the Non-Specially Designated Nationals Chinese Military-Industrial Complex Companies List maintained by the Office of Foreign Assets Control of the Department of the Treasury under Executive Order 14032, Addressing the Threat From Securities Investments That Finance Certain Companies of the People's Republic of China.

(b) **Prohibition.** DoD cannot award Supplier a contract assigned a NAICS code beginning with 5416 if the Supplier:

- (1) Cannot certify that neither the Supplier nor any of its subsidiaries or affiliates hold a contract or subcontract that involves consulting services with one or more covered foreign entities; and
- (2) Does not maintain a conflict-of-interest mitigation plan as described in paragraph (d) of this provision.

(c) **Certification.**

(1) Supplier represents that:

- (i) It does ☐ does not ☐ hold a contract or subcontract that involves consulting services with one or more covered foreign entities;
- (ii) Its subsidiaries or affiliates do ☐ do not ☐ hold a contract or subcontract that involves consulting services with one or more covered foreign entities; and

(2) Supplier represents that It does ☐ does not ☐ maintain a conflict-of-interest mitigation plan described in paragraph (d) of DFARS 252.209-7012.

**B.12. FAR 52.222-22 — Previous Contracts and Compliance Reports (TAILORED)****(a) Exemptions.**

- (1) ☐ Supplier has less than 50 employees; or
- (2) ☐ All work will be performed outside the U.S. by employees who were not recruited within the U.S.

If either exemption is selected, Supplier is not required to complete the remainder of this Section B.12 and may proceed directly to B.13. Otherwise, proceed to Subsection (b) below.

**(b) Representation.** Supplier represents that:

- (1) It ☐ has (☐ has not) participated in a previous contract or subcontract subject to the Equal Opportunity clause of a solicitation; and
- (2) It ☐ has (☐ has not) filed all required compliance reports.

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

**B.13. FAR 52.222-25 — Affirmative Action Compliance (TAILORED)****(a) Exemptions.**

- (1) ☐ Supplier has less than 50 employees; or
- (2) ☐ All work will be performed outside the U.S. by employees who were not recruited within the U.S.

If either exemption is selected, Supplier is not required to complete the remainder of this Section B.13 and may proceed directly to B.14. Otherwise, proceed to Subsection (b) below.

**(b) Representation.** Supplier represents that:

- (1) It ☐ **has** developed and has on file (☐ **has not** developed and does not have on file), at each establishment, affirmative action programs required by the rules and regulations of the Secretary of Labor (41 CFR parts 60-1 and 60-2); or
- (2) 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.14. FAR 52.222-38 — Compliance with Veterans' Employment Reporting Requirements****(a) Exemption.**

- (1) ☐ All work will be performed outside the U.S. by employees who were not recruited within the U.S.

If this exemption is selected, Supplier is not required to complete the remainder of this Section B.14 and may proceed directly to B.15. Otherwise, proceed to Subsection (b) below.

**(b) Representation.** Supplier represents that:

- (1) ☐ If it is subject to the reporting requirements of 38 U.S.C. 4212(d) (i.e., if it has any contracts containing FAR 52.222-37, Employment Reports on Veterans), it has filed the most recent VETS-4212 Report required by that clause.

**B.15. FAR 52.222-56 — Certification Regarding Trafficking in Persons Compliance Plan (TAILORED)**

Supplier provides supplies manufactured or acquired outside the U.S. or services performed outside the U.S. (check only ONE box):

☐ **Yes** ☐ **No**



**CONTINUED****B.15. FAR 52.222-56 — Certification Regarding Trafficking in Persons Compliance Plan (TAILORED)**

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

- ☐ Supplier hereby certifies before award of any subcontract or PO (i) for supplies, other than commercially available off-the-shelf items, acquired outside the U.S., or services to be performed outside the U.S. and (ii) has an estimated value that exceeds \$700,000 that:
- (a) Supplier has implemented a compliance plan to prevent any prohibited activities identified in paragraph (b) of FAR 52.222-50, Combating Trafficking in Persons, and to monitor, detect, and terminate any agent, subcontract or Supplier employee engaging in prohibited activities identified in paragraph (b) of FAR 52.222-50; and
- (b) After having conducted due diligence—
- (1) To the best of Supplier’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 FAR 52.222-50(b) have been found, Supplier or its subcontractor has taken the appropriate remedial and referral actions.

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

**B.16. DFARS 252.225-7050 — Disclosure of Ownership or Control by the Government of a Country that is a State Sponsor of Terrorism (TAILORED)**

- (a) **Definitions.** The terms “government of a country that is a state sponsor of terrorism”, “significant interest”, and “state sponsor of terrorism” are defined in DFARS 252.225-7050.
- (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.**
- (1) ☐ Unless Supplier submits with its offer the disclosure required in Subsection (d) of this provision, Supplier represents, by submission of any offer to RTX, that the government of a country that is a state sponsor of terrorism does not own or control a significant interest in—
- (i) Supplier;
  - (ii) A subsidiary of Supplier; or
  - (iii) Any other firm that owns or controls Supplier.
- (d) **Disclosure.**
- (1) ☐ Supplier shall disclose, in an attachment to any offer to RTX, if the government of a country that is a state sponsor of terrorism owns or controls a significant interest in Supplier; a subsidiary of Supplier; or any other firm that owns or controls Supplier.
- (i) The disclosure shall include —
    - (A) Identification of each government holding a significant interest; and
    - (B) A description of the significant interest held by each government.

**B.17. Buy American Act, Balance of Payments Program, and Trade Agreements Act (TAILORED)**

RTX, as a prime contractor, is subject to various Buy American Act, Balance of Payments Program, and Trade Agreements Act clauses and certifications (e.g., FAR 52.225-2, FAR 52.225-6, DFARS 252.225-7000, DFARS 252.225-7020), which apply to the end product being furnished to the U.S. government end customer. In order to ensure the accuracy of its own certification, RTX requires information from Supplier on where the components that it delivers to RTX are manufactured. In cases where RTX is acquiring an item from the Supplier that will constitute the end product being furnished to the end customer, such as for spare or replacement parts, RTX may require additional information or certification from the Supplier to ensure compliance with its contractual requirement.

- (a) **Definitions.** The term “end product” means those articles, materials, and supplies to be acquired by RTX in support of a USG contract.
- (b) **Acknowledgement.** ☐ Supplier hereby acknowledges and agrees that by submission of any offer or delivery of goods to RTX that:
- (1) Supplier certifies that each product that it furnishes to RTX is manufactured in the U.S. unless Supplier has separately listed the product and its country of origin in its proposal to RTX; and
  - (2) Supplier certifies that in those instances where RTX is acquiring any products that will be furnished to the U.S. government end customer as an end product, Supplier will provide additional information and certification as needed to ensure the accuracy of RTX’s certification.

**B.18. DFARS 252.225-7042 — Authorization to Perform (TAILORED)**

- ☐ Supplier hereby represents that by submission of any offer to RTX, or by its acceptance of RTX’s subcontract or PO, when subcontract performance will be wholly or in part in a non-U.S. country that it has been duly authorized to operate and to do business in the country or countries in which the subcontract or PO is to be performed.

**B.19. FAR 52.247-63 — Preference for U.S. – Flag Air Carriers; DFARS 252.247-7023 — Transportation of Supplies by Sea (TAILORED)**

- (a) **Definitions.** The terms “international air transportation,” “United States,” and “U.S.-flag air carrier” are defined in FAR 52.247-63. The terms “foreign-flag vessel,” “U.S.-flag vessel,” and “supplies” are defined in DFARS 252.247-7023.
- (b) **Representation.** If Supplier’s performance of work for RTX will require USG-financed international air transportation of personnel or property, or transport of any supplies by sea, Supplier hereby represents the following:
- (1) International air transportation (FAR 52.247-63):
    - ☐ Supplier will use a U.S.-flag air carrier, or Supplier will certify that a U.S.-flag air carrier was not available, or it was necessary to use a foreign-flag air carrier service and will provide a Statement of Unavailability of U.S.-Flag Air Carriers as required by FAR 52.247-63; or
    - ☐ Not applicable. Supplier will not use international air transportation.
  - (2) Transporting supplies by sea (DFARS 252.247-7023):
    - ☐ Supplier will use a U.S.-flag vessel, or Supplier will request that RTX authorize a shipment in a foreign-flag vessel if Supplier believes that a U.S.-flag vessel is not available for timely shipment; freight charges are inordinately 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; or
    - ☐ Not applicable. Supplier will not transport any supplies by sea.



**Section C: Authorized signature of Supplier**

**Note: The Internal Revenue Service does not require Supplier's consent to any provision of this document other than the certifications in the substitute W-9 Form information in Section A.1. Part 1 and the FATCA information in Section A.1. Part II.**

**Certification by Supplier's Authorized Representative:**

By signing below, Supplier is attesting to the accuracy of the information contained herein. Supplier understands that Supplier may be subject to penalties imposed by the U.S. government if any of the representations or certifications herein are misrepresented. **Supplier further acknowledges that RTX shall rely on the information provided by Supplier herein and that if any of Supplier's representations herein change during the period of performance, Supplier shall provide immediate written notice to the RTX representative to whom this document was originally provided.**

\_\_\_\_\_  
Signature of Supplier's Authorized  
Representative

\_\_\_\_\_  
Supplier firm / company name

\_\_\_\_\_  
Printed name and title of above signatory

Address: \_\_\_\_\_

Date: \_\_\_\_\_

\_\_\_\_\_  
Telephone: \_\_\_\_\_

Email: \_\_\_\_\_

URL: \_\_\_\_\_