**S3 Procurement Policy Reference**

S3-727-F-3 Representations and Certifications

In accordance with Government and prime contract requirements, S3 must verify certain information about our suppliers. To help suppliers complete the profile, refer to the definitions below or contact your buyer or S3 representative. Notice: Under 15 U.S.C. 645 (d), any person who misrepresents a firm’s status as a small business concern in order to obtain a contract to be awarded under the preference programs established pursuant to sections 8 (a), 8 (d), 9, or 15 of the Small Business Act or any other provisions of Federal Law that specifically reference section 8 (d) for a definition of program eligibility, shall (1) be punished by imposition of a fine, imprisonment, or both; (2) be subject to administrative remedies, including suspension and debarment; and (3) be ineligible for participation in programs under the authority of the Act. You will not receive contracts from S3 if a profile is not returned complete. Submission of this form does not constitute approval of your firm as a supplier, nor obligate S3 to solicit requests for quotation. The data on this form will be used to evaluate the potential of your firm as a S3 supplier. Please provide additional sheets as necessary to respond to the below items.

**Definitions:**

The definitions required to complete this form are found in the Federal Acquisition Regulation. Please refer to the Federal Acquisition Regulation Parts 2, 19, and 25 for a definitive treatment of the definitions. If you are unsure of your business size, contact your local Small Business Administration office.

**1**. **Business Identification (FAR52.204-3 Refers)**

 Purchase Agreements will be mailed to the name and address indicated below.

|  |
| --- |
| Company Name: |
| Address: |
| City: State: Zip: |
| Country: |
| Federal Tax Identification Number (TIN or SSN) |
| Company’s Dun and Bradstreet Number\* (US Companies Only): |

 \*If unknown call 1-800-999-3867 to obtain this number.

 Is the company incorporated in the United States?

 [ ] Yes [ ]  No

 **If yes, please provide a copy of your executed IRS form W-9**

 Has the company had a name change or moved in the past 12

 months? [ ] Yes [ ]  No

 If yes, identify previous name/address of company:

**2. Type of Business**

 a) Company operates as:

 [ ] Agent [ ]  Other [ ] Distributor

 b) Products or Services offered:

 \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

 **\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**3**. **Parent Company Information and Identifying Data**

 Is the company owned by a parent company? [ ]  Yes [ ]  No

 If yes, provide the following information.

|  |
| --- |
| Parent Company Name: |
| Address: |
| City: State: Zip: |
| County: |
| Parent Federal Tax Identification Number: |
| Parent Company’s Dun and Bradstreet Number\* (US Only): |

**FOR U.S. BASED BUSINESSES ONLY**

1. Indicate your company size according to FAR Part 19.

 [ ]  Other than Small [ ]  Small

1. Is your company registered on the Small Business

 Administration’s database? [ ] Yes [ ] No

1. Is your company Women-owned? [ ] Yes [ ] No
2. Is your company owned by a disabled or handicapped individual?

 [ ]  Yes [ ]  No (Javits-Wagner-O’Day Act)

Specify \_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. Is your company a Small Disadvantaged Business?

 [ ] Yes [ ]  No

 If yes, is the company owned and controlled by:

 [ ] Hispanic American [ ]  Subcontinent Asian American

 [ ] Black African [ ]  Asian-Pacific American

 [ ] Native American [ ]  Other \_\_\_\_\_\_\_\_\_\_\_\_

1. Is your company certified as a Small Disadvantaged Business by

 the Small Business Administration on the SBA database?

 [ ] Yes [ ] No

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

 g) Other Socioeconomic (DFAR 252.226-7001 Refers)

 Offeror certifies that the offeror is a Historically

 Black College or University or Minority Institution

 or Tribal College or University.

 [ ] HBCU [ ]  MI [ ]  TCU [ ]  Not Applicable

 h) Other Designations

 [ ]  Educational Institute (Private)

 [ ]  Educational Institute (Public)

 [ ]  Non-Profit Federal Agency

 [ ]  Other, State or Local Agency

i) Is your company a Veteran owned Small Business?

 [ ] Yes [ ] No

 Is your company owned by a Service Disabled Veteran?

 [ ] Yes [ ] No

j) Are you on the SBA List of Qualified HUBZone Small Business Concerns? [ ] Yes [ ] No

 (To obtain HUBZone info: <http://www.sba.gov/>)

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

**4. Other Business Information (FAR52.219-8 Refers)**

1. What is your company’s primary 6 digit NAICS code?
(To obtain NAICS info: <http://www.census.gov/> or
 [www.naics.com/search.htm](http://www.naics.com/search.htm))

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |

1. Please provide your company’s CAGE Code (if applicable) :

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  |  |  |  |

**5.** **Other Information:**

|  |
| --- |
| Main Contact Name: Title: |
| Phone Number: Fax Number: |
| E-Mail Address: |
| President/CEO Name: |
| President/CEO Address/Mail Stop (if different) |
| Phone Number: Fax Number: |

**6.** **Other Information:**

a) Please list, the following addresses, including country, if different than the main address above:

 Manufacturing Address

 Return To Address

 Remit To Address

 Debit-Memo Address

 RFQ Submittal Address

 Emanating (Ship From) Point Address

1. Does your company accept credit cards? [ ] Yes [ ] No
2. Are you a Protégé under the Mentor-Protégé Program? [ ] Yes [ ] No

 If yes, who is the Mentor Company?

**7. Governmental Connections of the Company** *(With respect to a country with a ruling family, members of the royal family are to be considered government officials in responding to this section.)*

a) Is the Company owned or controlled by a non-U.S. government or government-owned or controlled company (“instrumentality”)? No **[ ]**  Yes **[ ]**  If yes, please describe the governmental ownership and/or controlling interest.

b) Is any owner, director, officer, senior employee with authority to act on behalf of the Company, or other representative of the Company a current or former official or employee of the government of the country or any agency, military branch or instrumentality thereof (including a government-owned company)?

 No **[ ]**  Yes **[ ]**  If yes, identify each person, his/her last date of employment and government department, agency or instrumentality.

c) Is any owner, director, officer, or other employee or representative with authority to act on behalf of the Company an official of any political party or candidate for political office? No **[ ]**  Yes **[ ]**  If yes, please explain in detail.

d) Does the Company or any owner, director, officer, or other employee or representative with authority to act on behalf of the Company have any family (by blood or marriage) or business relationship with any official or employee of the government of the country or any agency, military branch, or instrumentality thereof (including a government-owned company)? No **[ ]**  Yes **[ ]**  If yes, please explain each relationship.

e)Does or will any governmental official or employee or any official of any political party or candidate for political office have any interest in, or receive any benefit from, the Company?

 No **[ ]**  Yes **[ ]**  If yes, please explain in detail.

f) During the last five (5) years, has the Company provided contributions, monetary or otherwise, to any government official, political party, political campaign, or government department, agency or instrumentality? No **[ ]**  Yes **[ ]**  If yes, please explain in detail, including the name of the recipient, date, amount and nature of the contribution.

g) Is the Company aware of any other relationships, connections, or ties to any governmental official or employee or any official of any political party or candidate for political office such that execution of the agreement could be expected to affect the award of business to S3 or affect the evaluation, payment approval, or other aspect of the administration of any S3 business with the government of the country? No **[ ]**  Yes **[ ]**  If yes, please explain in detail.

 **8. Legal Proceedings**

1. Has the Company, any affiliate (any entity controlling, controlled any, or under common control with the Company), any predecessor entity or affiliate of the Company, any present or former owner, director, officer or key employee, ever been debarred, suspended, or otherwise restricted from doing business with any government or been notified that such action is pending? No **[ ]**  Yes **[ ]**  If yes, please explain in detail.
2. Has the Company, any affiliate (any entity controlling, controlled by, or under common control with the Company), any predecessor entity or affiliate of the Company, or any present or former owner, director, officer, or management representative had a criminal conviction within the last ten (10) years? No **[ ]**  Yes **[ ]**  If yes, please explain in detail.
3. Has the Company, any affiliate, any predecessor entity of the Company, or any present or former owner, director, officer, or management representative ever been charged with a criminal act or been the subject of an investigation or any other proceeding involving an allegation of fraud, misrepresentation, bribery, or other similar activity? No **[ ]**  Yes **[ ]**  If yes, please explain in detail.
4. Does the Company have any pending material legal proceeding or have any pending proceeding in bankruptcy or insolvency? No **[ ]**  Yes **[ ]**  If yes, please explain in detail, including identification of the jurisdiction and case number of any proceeding.

**9. Broker Practices**

1. Does the Company have currently or has it had within the last three (3) years a sales representative, consultant, or agent of any kind entitled to a commission or other fee or payment with respect to the Company’s business or activities in the country? No **[ ]**  Yes **[ ]**  If yes, please provide complete details of all such person(s) and the associated business arrangement(s).
2. Does the Company intend to use a broker, sales representative, consultant or agent of any kind in connection with the proposed Project? No **[ ]**  Yes **[ ]**  If yes, please provide complete details of all such person(s) and the associated business arrangement(s).
3. Does the Company have any policy or procedure regarding investigation or the performance of due diligence prior to the engagement of sales representatives, consultants, or other agents? No **[ ]**  Yes **[ ]**  If yes, please explain in detail or provide a copy.

**10. Company Policies and Practices**

1. Does the Company have any policy or procedure regarding compliance with laws regarding bribery or corruption of public officials? No **[ ]**  Yes **[ ]**  If yes, please explain in detail or provide a copy.
2. Does the Company have any policy or procedure regarding the giving of gifts or gratuities to governmental officials by Company personnel or its consultants, representatives, or agents? No **[ ]**  Yes **[ ]**  If yes, please explain in detail or provide a copy.
3. Does the Company have any policy or procedure regarding the management and protection of proprietary information of others? No **[ ]**  Yes **[ ]**  If yes, please explain in detail or provide a copy.
4. Does the Company have any policy or procedure regarding the management and protection of information and goods with respect to which military or security classifications apply and/or with respect to which national or international export controls apply? No **[ ]**  Yes **[ ]**  If yes, please explain in detail or provide a copy.
5. Does the Company conduct any audits, assessments, or other reviews of its compliance with these policies? No **[ ]**  Yes **[ ]**  If yes, please explain in detail.

**11. International Transaction Controls**

a) Does the Company have any policy or procedure regarding compliance with export laws and regulations in the areas in which you operate? No **[ ]**  Yes **[ ]**  If yes, please explain in detail.

b) Is the Company or any of its sales representatives, consultants, or other agents registered with the US State Department Directorate of Defense Trade Control?

No **[ ]**  Yes **[ ] .**

 If yes, please explain in detail or provide a redacted copy.

**12. License/Registrations/Certifications**

a) Please provide a copy of Company’s business registration certificate, and/or certificate of good standing or other documentary representation of Company’s qualification to do business in the countries within which Company indicates it does business or intends to do business for S3.

b) Please provide a copy of any license required by the government(s) of any jurisdiction in which the Company operates in order for the Company to provide the products or renders the services which proposes to provide to S3.

**13.**  **Business Contacts**

Please list those business contacts (preferably, at least one US Company, and at least one banking institution), which S3 may contact for reference purposes.

 Business Name

Address

Contact

Telephone Number

Business Name

Address

Contact

Telephone Number

How many additional sheets are attached containing responses to any of the items above? \_\_\_\_\_\_\_\_\_

(Please number consecutively and initial any additional sheets. Additional sheets should reference information provided to the corresponding number and letter on this questionnaire.)

The Company representative signing below represents that he or she is authorized to sign this questionnaire on behalf of the Company and that S3 may rely upon a scanned or faxed signature as binding upon the Company.

The Company understands that S3 will rely on the above information and other business information provided by the Company in determining whether to enter into an agreement with the Company regarding the Project (as it may change from time to time), and that in addition to any other remedies that may be available, any false or misleading information by the Company shall be grounds for the immediate termination of any such agreement.

**The Company represents warrants and agrees that it has read the S3 Third Party Code of Conduct, that the Company is able to abide by it, and that if the Company is selected by S3, the Company will execute and comply with the S3 Third Party Code of Conduct. The Company also represents, warrants and agrees that it has read and accepts S3’s General Terms and Conditions for both Services and Materials as well as its Commercial Item FAR Flow Down Clauses.**

**Certification**

**The Company certifies that the representations and information stated herein are current, accurate and complete. The Company agrees to notify S3 of any changes to the information provided on this profile.**

Authorized Signature Title Date