



Foreign Ownership, Control, and Interest Vendor Disclosure

Purpose: This form is used by Collins Machine Works (CMW) to conduct due diligence screening prior to engaging in subcontracts with applying companies and to determine their eligibility to receive DoD-Controlled Information and/or Export-Controlled Information or items from Collins Machine Works.

Instructions: This form must be completed and signed by an Officer, Owner or duly authorized agent of the applying company. If any of the information in this document changes, the applying company must promptly notify CMW.

Please print, complete and sign this form and return it to the Purchasing Department for processing.

["Applying Company" refers to business, entity, individual and/or firm. "Foreign" refers to non-U.S.]

Section A – Business Information – All Applying Companies

Legal Entity Name:		Manufacturing Address:	
DBA or Division (if applicable):		City/State/ZIP:	
Principal Address:		Country:	POC Email:
City/State/ZIP		Phone:	Fax:
Country:	POC Email:		
Phone:	Fax:		
CAGE code:	No Cage Code:	<input type="checkbox"/>	
Primary North American Industry Classification System (NAICS) Code: <i>[For more information on NAICS visit http://www.census.gov/eos/www/naics/]</i>			
Data Universal Numbering System (DUNS) number: <i>[Fore information on DUNS visit: https://fedgov.dnb.com/webform]</i>			

Section B – Foreign Ownership Control Or Influence (FOCI)

1. The applying company is organized and existing under the laws of _____ (State/Province) in _____ (Country).

2. Is the applying company:

Yes	No

 - a. owned or controlled, in whole or in part, by another company or entity?
 - b. a division or subsidiary of another company or entity?
 - c. owned or controlled, in whole or in part, by the government of any country?
If yes, state name of country:

*If the above responses for (a) and (b) are "No", go to question three (3).
If the above responses for (a), (b) or (c) are "Yes", the applying company must provide the following information:*

Name of Immediate Parent:
Address of Immediate Parent:
Place of Incorporation
Applying company's relationship to Immediate Parent:
Name of Ultimate Parent:
Address of Ultimate Parent:
Place of Incorporation:
Applying company's relationship to Ultimate Parent:

Attach Additional Pages as Needed



Foreign Ownership, Control, and Interest Vendor Disclosure

	Yes	No		
<p>3. Information Regarding Applying Company's Employees:</p>				
<p>a. Does the applying company employ dual nationals (i.e., dual citizens) and / or third country nationals (i.e., a citizen of a country other than the U.S. or the country in which the applying company is located)? <i>If the above response for (a) is "No", go to question (4)</i></p>	<input type="checkbox"/>	<input type="checkbox"/>		
<p>b. If the above response to 3(a) is Yes, will a dual national or third country national require or have access to export-controlled defense articles, technical data, and/or defense services provided by CMW?</p>	<input type="checkbox"/>	<input type="checkbox"/>		
<p>4. Control of Access to U.S. Technical Data Other Than Naval Nuclear Propulsion Information (NNPI):</p>				
<p>a. Does the applying company have a written Access Control Plan/Technology Control Plan (ACP/TCP)?</p> <p><i>The ACP/TCP prevents unauthorized export or disclosure of unclassified technical data and export controlled information and items, within and outside the U.S. to unauthorized persons, including unauthorized employees, foreign nationals, foreign interests and the public. GDEB has produced a resource for assisting suppliers in developing an ACP/TCP available at http://www.gdeb.com/suppliers/4_future_suppliers/</i></p>	<input type="checkbox"/>	<input type="checkbox"/>		
<p>5. DoD Issuances on Control of Technical Data.</p> <p>a. The applying company has read and agrees to comply with applicable requirements of DoD Instruction 5230.24, "Distribution Statements on Technical Documents" and DoD Directive 5230.25, "Withholding of Unclassified Technical Data From Public Disclosure." <i>See http://www.dtic.mil/whs/directives/index.html "Directives" and "Instructions" tabs.</i></p>			<input type="checkbox"/>	<input type="checkbox"/>
<p>6. U.S./Canada Joint Certification Program (JCP) certification through the Defense Logistics Information Service (DLIS).</p> <p>The applying company (check one only):</p> <p>a. Has an active JCP certification. Certification number:</p> <p>b. Does not have an active JCP certification.</p> <p>c. Has applied for a JCP certification through DLIS and will notify CMW promptly of its certification number and expiration date when applying company's certification is in place.</p> <p><i>JCP Certification establishes the eligibility of a U.S. or Canadian contractor to receive certain technical data subject to U.S. and/or Canadian export control laws and regulations. For DLIS FAQ and application form, visit http://www.dlis.dla.mil/jcp/</i></p>			<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>		



Foreign Ownership, Control, and Interest Vendor Disclosure

	Yes	No
7. State Department Registration The applying company:		
a. Is registered as a manufacturer or exporter of defense articles or provider of defense services pursuant to the International Traffic in Arms Regulations (ITAR), 22 CFR 122.	<input type="checkbox"/>	<input type="checkbox"/>
If applicable, registration per this section (7) is in effect until		
8. Foreign Ownership, Control or Influence (FOCI). <i>For the purposes of this section, "Foreign National" and "Foreign Interest" shall have the same meaning as defined in OPNAVINST N9210.3. "Significant Interest" shall have the meaning given to it in the clause at DFARS 252.209-7001.</i>		
A applying company is considered to be subject to FOCI if –		
• It is owned or controlled by a "Foreign National" or "Foreign Interest"; or		
• a "Foreign National" or "Foreign Interest" has a "Significant Interest" in the applying company or any parent of applying company; or		
• it is in partnership with a "Foreign National" or "Foreign Interest".		
a. For any of the companies or entities identified in this form (includes attachments), does a foreign person(s), foreign entity, or any government, individually or collectively, hold a "significant interest"? Specifically a "significant interest" is:		
i. ownership of or a beneficial interest in at least 5% or more of the firm's or subsidiary's securities. Beneficial interest includes holding 5% 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;	<input type="checkbox"/>	<input type="checkbox"/>
ii. holding a management position in the firm, such as a director or officer;	<input type="checkbox"/>	<input type="checkbox"/>
iii. ability to control or influence the election, appointment, or tenure of directors or officers in the company;	<input type="checkbox"/>	<input type="checkbox"/>
iv. ownership of 10% or more of the assets of a firm such as equipment, buildings, real estate, or other tangible assets; or	<input type="checkbox"/>	<input type="checkbox"/>
v. 50% or more of the indebtedness of a firm.	<input type="checkbox"/>	<input type="checkbox"/>
b. Does any foreign person(s), foreign entity, or any government, have the power, direct or indirect, whether or not exercised, and whether or not exercisable through ownership of the company's securities, by contractual arrangements or other means, to direct or decide matters affecting the management or operations of any of the companies or entities identified in this form, in a manner which may result in unauthorized access to U.S. technical data or information or may adversely affect the performance of classified and/or unclassified contracts?	<input type="checkbox"/>	<input type="checkbox"/>



Foreign Ownership, Control, and Interest Vendor Disclosure

Authorizing Signature

I certify that I am an officer, owner, or otherwise a duly authorized agent of the applying company or entity and that the information given above and in any required attachment to this form is accurate, current and complete as of date of this signing.

Understand that this information will be relied on for (i) use in U.S. Government subcontracting purposes, and (ii) to determine the applying company's eligibility to receive Dept. of Defense or Export Controlled information. Misrepresentation of the facts shall, in addition to any other remedies available at law or in equity, be cause for Collins Machine Works (hereinafter "CMW") to terminate for default any work being performed or to be performed.

I understand and agree that the company shall defend, indemnify and hold harmless CMW, its officers, employees, and agents from any losses, costs, claims, causes of action, damages, liabilities, and expenses, including attorney's fees, all expenses of litigation and/or settlement, and court costs, arising under or related to any misrepresentation of the facts set forth in this certification.

I further understand that the company shall immediately notify CMW, as soon as possible but no later than thirty days following the change, of any change of status regarding the facts set forth in this certification.

Signature of Authorized Representative	Company Name:
Printed Name and Title of Representative	Address:
Date:	Phone: