



Exotic Metals Forming Company LLC  
5411 South 226<sup>th</sup> Street  
Kent, WA 98032

September 1, 2019

Subject: Annual Supplier Certifications

To comply with U.S. Government regulations and our customer requirements, Exotic Metals is requesting acknowledgement of the following certifications to be signed by an authorized representative of the supplier and returned to Exotic Metals **within two weeks of receipt**. Please review and complete the requested information and signature as noted in below.

### **SUPPLIER CERTIFICATIONS**

#### **1. Suspended or Debarment Certification (FAR 52.209-6):**

Supplier certifies that:

- Supplier or any of its subsidiaries, affiliates, or related companies, including subcontractors or sub-tier suppliers, have **not** been suspended, debarred, proposed for debarment or declared ineligible for contract awards by any U.S. government agency.

#### **2. DDTC Registration Statement:**

In accordance with U.S. ITAR regulations 22 CFR 122.1, a company that engages in the United States in the business of manufacturing or exporting defense articles or furnishing defense services is required to register with the Directorate of Defense Trade Controls (DDTC).

For reference to the registration requirements, please see the following link:

<http://www.gpo.gov/fdsys/pkg/CFR-2005-title22-vol1/pdf/CFR-2005-title22-vol1-sec122-3.pdf>

Supplier certifies that:

- Supplier does not manufacture or export defense articles or furnish defense services.
- Supplier does manufacture or export defense articles or furnish defense services. For reference, defense articles are parts or components designed for and to be installed and used on any military aircraft (see 22 CFR 120.6 for full definition). If the supplier does manufacture or export defense articles or furnish defense services, the supplier must meet the following two conditions:



- Supplier is registered with the DDTTC and current registration expires on the following date: \_\_\_\_\_.**
- Supplier does flow down this requirement to applicable subcontractors/sub-tier suppliers.

### **Export Compliance**

If Supplier does manufacture or export defense articles or furnish defense services:

- Is supplier incorporated in the United States?       Yes    No
- Will non-U.S. persons have access to commodities or technology which is controlled by the Department of State or Department of Commerce?    Yes    No    N/A
- Does Supplier screen all visitors who may have access to commodities or technology which is controlled by the Department of State or Department of Commerce for compliance to ITAR (22 CFR Parts 120-130), EAR regulations (15 CFR parts 730-774), and Foreign Assets Control regulations (31 CFR Parts 500-598).

### **3. Domestic Specialty Metals:**

Supplier agrees to comply with the following statement (as applicable):

Parts or components that have a military requirement or application (referenced on drawing, purchase order, or other applicable documents) are required, per DFARS 252.225-7008 (materials) and/or 252.225-7009 (articles/finished parts), if the part(s) or assemblies contain "specialty metals" (defined as nickel, cobalt, titanium, zirconium, and certain steel alloys), then these "specialty metals" must be melted in the United States or in a qualifying country as defined in DFARS 225.872-1.

Supplier certifies that:

- Supplier does flow down this requirement to applicable subcontractors/sub-tier suppliers.

### **4. Defense Priority & Allocation Systems (DPAS) Priority Rating**

Supplier certifies: For orders containing DPAS codes, such orders are rated orders and certified for National Defense use, supplier complies with all provisions of the Defense Priorities and Allocation System regulations (15 CFR).

Supplier certifies that:

- Supplier does flow down this requirement to applicable subcontractors/sub-tier suppliers.



**5. Slavery and Human Trafficking:**

1) Is your organization slavery and human trafficking free?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Don't Know
2) Are your 1 <sup>st</sup> tier suppliers slavery and human trafficking free?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Don't Know
3) Are your lower tier suppliers slavery and human trafficking free?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Don't Know

Please explain any **No** responses and further actions to be taken below:

1)	
2)	
3)	

Please explain any **Don't Know** responses and further actions to be taken below:

1	
2)	
3)	

**6. Specific Government Contract Requirements:**

Does Supplier provide, as a subcontractor for Exotic Metals, goods or services required by the United States Government?

- Yes
- No

If No, skip the following questions and proceed to Section 7. If Yes, please complete all remaining questions.



**A. Affirmative Action Compliance (FAR 52.222-25) check one:**

- Supplier **has developed, and has on file**, affirmative action programs at each establishment as required by the rules and regulations of the Secretary of Labor (41 CFR 60-1 and 60-2).
- Supplier **is developing** affirmative action programs at each establishment as required by the rules and regulations of the Secretary of Labor (41 CFR 60-1 and 60-2). Programs will be on file by \_\_\_/\_\_\_/\_\_\_\_\_.
- Supplier **is exempt** from developing, and having on file, affirmative action programs at each establishment because a) Supplier has less than fifty (50) employees or b) in any twelve (12) month period, Supplier has not previously had government contracts, subcontracts, or bills of lading totaling or expected to total \$50,000 or more. (FAR 22.804-1)

**B. Equal Opportunity (FAR 52.222-26)**

Supplier certifies that it:

- does comply
- does not comply

with the above clause and Executive Order 11246 as amended, and the rules, regulations and Orders of the Secretary of Labor pertaining to Equal Opportunity.

**C. Equal Opportunity for Veterans (FAR 52.222-35)**

Supplier certifies that it:

- does comply
- does not comply

with the applicable reporting requirements regarding employment of eligible Veterans.

**D. Equal Opportunity for Workers With Disabilities (FAR 52.222-36 and 52.222-37)**

Supplier certifies that it:

- does comply
- does not comply

with the above clause pertaining to the employment of works with disabilities.

**E. Previous Contracts and Compliance Reports (FAR 52.222-22):**

**1. Check one of two:**

- Supplier has
- Supplier has not

Participated in a previous contract or subcontract subject to either (a) FAR 52.222-26 "Equal Opportunity", (b) the clause originally contained in Section 310 of Executive Order No. 10925, or (c) the clause contained in Section 201 of Executive Order No. 11114.

**2. Check one of two:**

- Supplier has
- Supplier has not



Filed all required compliance reports; and representations, signed by subcontractors, indicating submission of required compliance reports will be obtained before subcontract awards.

**a. Exemption:**

- Supplier is
- Supplier is not

Exempt from the above on the basis that all work related to goods or services sold to Exotic Metals, is performed entirely outside the United States by employees who were not recruited within the United States.

**F. Payments to Influence Certain Federal Transactions (FAR 52.203-11) For All Solicitations (Over \$150,000):**

Supplier, to the best of their knowledge and belief has not and will not pay federal appropriated funds to any person for influencing or attempting to influence federal transactions as described in FAR 52.203-11.

In accordance with FAR 52.203-11, Paragraph 2, supplier shall complete and submit to Exotic Metals a disclosure of lobbying activities with each bid valued in excess of \$150,000.

Supplier shall obtain from their subcontractors a certification substantially the same as this, including requirements for flow down, for all subcontract awards valued in excess of \$150,000.

**G. Certification of Independent Price Determination (FAR 52.203-2) For All Solicitations (Over \$25,000):**

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

**H. "Buy American Act-Trade Agreements" (FAR 52.225-1-4, DFARS 252.225.7000-7001) only for government contracts, not applicable to commercial contracts:**

Supplier

- does
- does not

certify that each deliverable part is a domestic end Product as defined in the above FARS and DFARS, and that components of unknown origin have been considered to have been mined, produced or manufactured outside the United States, a designated country, a



NAFTA country or a Caribbean basin country. PROVIDE A LIST OF ALL NON-COMPLIANT PARTS ON SEPARATE ATTACHMENT.

**I. Report of Performance Outside the United States**

As prescribed in DFARS 252.225-7003, the supplier shall submit, with its offer or purchase order or contract acceptance, a report of intended performance outside the United States and Canada if:

- (1) The value of the offer(order or contract) exceeds \$13.5 Million
- (2) The supplier is aware that supplier or a first-tier subcontractor intends to perform any part of the contract outside the United States or Canada that ---
  - i. Exceeds \$700,000 in value; and
  - ii. Could be performed inside the United States or Canada.

**J. Total Compensation**

Confirm if one of the following exemptions applies for the preceding fiscal year, per FAR 52.204-10:

- a) By claiming the following exemption, supplier certifies that in the preceding fiscal year supplier did not receive 80 percent or more of its annual gross revenues from federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements:
  - Yes
  - No
- b) By claiming the following exemption, supplier certifies that in the preceding fiscal year supplier did not receive \$25,000,000 or more in annual gross revenues from federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements:
  - Yes
  - No
- c) By claiming the following exemption, supplier certifies that the public has access to the information and the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1943 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986:
  - Yes
  - No

If none of the above exemptions apply, then supplier shall provide the names and total compensation of supplier's five (5) most highly compensated executives as those terms are defined in FAR 52.204-10, for the preceding fiscal year:

Name	Total Compensation (US\$)
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**K. Safeguarding of Unclassified Controlled Technical Information (DFARS 252.204-7012)**

Supplier certifies that it understands and will comply with the safeguarding requirements and procedures to protect unclassified controlled technical information on its unclassified information systems from unauthorized access and disclosure in accordance with the above referenced clause, including the requirement to properly report a “reportable” cyber-incident, as defined and specified herein.

- Yes
- No

Supplier understands that the requirements of this clause apply to every sub-tier supplier. Supplier certifies that it has policies/procedures in place to ensure compliance with the above reference clause for itself and all sub-tier suppliers.

- Yes
- No. If no, please specify when compliance is planned to be in place.

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

**Section 6A-K above:**

Supplier certifies that:

- Supplier does flow down these requirements to applicable subcontractors/sub-tier suppliers.

**7. Quality Control Procurement Requirements (QCPR) PO Notes**

Current revision of the QCPR Notes is available at [www.exoticmetals.com](http://www.exoticmetals.com) . Applicable QCPR Notes are specified each PO.

Supplier certifies:

- Yes, Supplier has received and reviewed the current revision of the QCPR Notes dated June 29, 2017 and for tooling the QCPR Tooling Supplement dated November 7, 2012 (as applicable).
- No, Supplier has not received the current revisions of the QCPR documents and needs a copy and will provide certification acknowledgement upon receipt and review.



## 8. Code of Business Ethics and Conduct

Supplier certifies that:

- a) It maintains and complies with a written code of business ethics and conduct and an ongoing business ethics awareness and compliance program satisfies the requirements of any terms and conditions of contracts and purchase orders between Exotic Metals and Supplier, as applicable FAR 52.203-13 and UTC's Supplier Code of Conduct or Boeing Code of Conduct as available on the respective websites.

Supplier must have in place the following requirements to meet the above criteria:

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

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

- Yes
- No. If no, please specify when compliance is planned to be in place.  
Date: \_\_\_\_\_

Has a copy of procedure or training material been provided to Exotic Metals?

- Yes
- No. If no, please specify when a copy will be provided..  
Date: \_\_\_\_\_

## 9. Environmental Health & Safety

Does Supplier have an environmental management system meeting the requirements of ISO 14001?

- Yes, and Supplier is certified to ISO 14001. (please provide copy of certification)
- Yes
- No and supplier has less than 500 employees and is classified NAICS codes 31-33 (therefore, this requirement is not applicable).
- No and supplier is in the process of implementing.  
Anticipated date of EMS in place: \_\_\_\_\_

Has supplier's certification status changed in the last 12 months?

- Yes. If yes, please explain:  
\_\_\_\_\_
- No







**10. Supplier Business Information:**

Supplier Name \_\_\_\_\_

Supplier Address \_\_\_\_\_

City, State, Zip \_\_\_\_\_

Phone Number \_\_\_\_\_ Fax Number \_\_\_\_\_

Point of Contact  
E-mail Address \_\_\_\_\_

Is supplier wholly or partially owned by another company or organization?

Yes  No

If Yes, Name of company or organization: \_\_\_\_\_

If Yes, Address of company or organization: \_\_\_\_\_

If Yes, please describe the relationship between supplier and company or organization:

Is supplier under Foreign Ownership or Foreign Control as defined by 22 C.F.R. § 120.37?

Under 22 C.F.R. § 120.37, Foreign Ownership is defined as "more than 50 percent of the outstanding voting securities of the firm are owned by one or more foreign persons," and Foreign Control is defined as "one or more foreign persons have the authority or ability to establish or direct the general policies or day-to-day operations of the firm. Foreign control is presumed to exist where foreign persons own 25 percent or more of the outstanding voting securities unless one U.S. person controls an equal or larger percentage."

Yes  No

If Yes, Name of Foreign Owner/Foreign Controller: \_\_\_\_\_

If Yes, Address of Foreign Owner/Foreign Controller: \_\_\_\_\_



**Union Contract Certification:**

Does Supplier have a union at this location?

- Yes
- No

If Yes, please provide the following information:

Union name(s): \_\_\_\_\_

Contract Expiration Date(s): \_\_\_\_\_

**Business Size**

- Small
- Large

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

Socio-economic Classifications that apply (Check all that apply):

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

**The below signature, by an authorized representative of Supplier, certifies the statements above and information provided herein are accurate and complete.**

**Printed Name and Title:** \_\_\_\_\_

**Company Name:** \_\_\_\_\_

**Signature:** \_\_\_\_\_

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

Please return the signed copy to [AnnualSupplierCertification@ExoticMetals.com](mailto:AnnualSupplierCertification@ExoticMetals.com).