



Offeror: ES3 must gather and maintain certain corporate information and representations and certifications from **Offerors** who provide (or intend to provide) goods and/or services in support of a U.S. Government (USG) contract. This form is intended to fulfill that purpose.

Please return this completed form to the secure mailbox at Purchasing@ES3inc.com.

Note: This form is not all inclusive regarding any procurement. Additional IRS, Terms and Condition, Federal Flow-down, and other legal, regulatory, or tax forms may be required in order to issue an award in support of a prime or lower-tiered US Government contract.

Section A - Corporate Information

Section A - Part I: Business Contact Information

(a) Provide Offeror's primary performance location information:

Business Name

DBA or Division (if applicable):

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

City, State, Zip (Country if outside U.S.):

Phone: _____ Email: _____

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

If **Yes**, **Offeror** acknowledges and agrees to provide ES3, in **Offeror's** proposal at the time of solicitation, with the actual performance location address applicable to each subcontract or Purchase Order issued by ES3.

Section A - Part II: Business Information

(a) **Offeror's** Business Structure:

- Individual / Sole Proprietor or Single Member Corporation
- Limited Liability Company (LLC)
- Limited Liability Partnership (LLP)
- Individual/Sole Proprietor/ Independent Contractor
- Non-US Entity
- Business Trust
- Charitable Trust
- Non-Profit Organization



- (b) If **Offeror** currently has an active registration in the System for Award Management (SAM.gov), **Offer** must provide your 12-Digit Unique Entity Identifier (UEI) AND your Parent Company’s UEI (applicable only if **Offeror** has a Parent Company). If you are not registered in SAM.gov, please stop and complete the alternate form on ES3’s website for company’s not registered in SAM.gov.

Please confirm that you, the Offeror, currently have an active registration in SAM.gov? **YES** or **NO**

If you answered “**Yes**”, please enter your UEI here: _____

Enter Offeror’s Parent Company UEI (required, if applicable): _____

- (c) All **Offerors** registered in SAM must provide their assigned 5-character Commercial and Government Entity (CAGE) or NATO Commercial and Government Entity (NCAGE) Code (if applicable) for the Division to which this contract will be awarded:

Enter CAGE or NCAGE Code here: _____

- (d) If the **Offeror** has completed the annual representations and certifications electronically in SAM accessed through <http://www.sam.gov>. After reviewing SAM information, the Offeror verifies by submission of this offer that the representations and certifications currently posted electronically at FAR 52.212-3, Offeror Representations and Certifications-Commercial Products and Commercial Services, have been entered or updated in the last 12 months, are current, accurate, complete, and applicable to this solicitation (including the business size standard(s) applicable to the NAICS code(s) referenced for this solicitation), at the time this offer is submitted and are incorporated in this offer by reference (see FAR 4.1201), except for paragraphs _____ (if none, please write “N/A”).

[Offeror to identify the excepted applicable paragraphs at (c) through (v) of the FAR [52.212-3](#) provision that the offeror has completed for the purposes of this solicitation only, if any.

These amended representation(s) and/or certification(s) are also incorporated in this offer and are current, accurate, and complete as of the date of this offer.

Any changes provided by the offeror are applicable to this solicitation only, and do not result in an update to the representations and certifications posted electronically on SAM.]

Section B - Small Business Representation

- (a) **Offeror** represents and certifies that it is a (check only one):
 - Large Business
 - Large Business that can also certify as Small for specific NAICS Codes, as defined at www.sba.gov.
 - Non-US Entity
 - Small Business, as defined at www.sba.gov. Offerors representing as a Small Business must also complete the section below. If you are not a Small Business, proceed to the next section.



(b) Small Business Status

(1) The offeror represents that—

(i) it **is**, or **is not** a small business concern; or

(ii) It **is**, or **is not** a small business joint venture that complies with the requirements of 13 CFR 121.103(h) and 13 CFR 125.8(a) and (b). [*Offeror shall enter the name and unique entity identifier of each party to the joint venture:*

_____.
[Use supplementary pages as necessary].

(c) Small Business Types and Programs

(1) **Offeror** represents that you **are** or **(are not)** a small disadvantaged business concern as defined in 13 CFR 124.1002.

(2) **Offeror** represents that you **are** or **(are not)** a women-owned small business concern.

(3) **Offeror** represents that you **are** or **(are not)** a veteran-owned small business concern.

(4) **Offeror** represents that you **are** or **(are not)** a service-disabled veteran-owned small business concern.

(5) If Offeror represented as a small business concern above, represent whether you:

(i) **are** or **are not** a HUBZone small business concern listed, on the date of this representation, on the List of Qualified HUBZone Small Business Concerns maintained by the United States Small Business Administration (SBA), and no material changes in ownership and control, principal office, or HUBZone employee percentage have occurred since it was certified in accordance with 13 CFR part 126; **and**

(ii) **are** or **are not** a HUBZone joint venture that complies with the requirements of 13 CFR part 126, and the representation in paragraph (b)(7)(i) of this provision is accurate for the HUBZone small business concern participating in the joint venture. **Offeror** shall enter the names of each of the HUBZone small business concerns participating in the HUBZone joint venture: _____ (If you selected “Are Not HUBZone”, enter N/A)

Each HUBZone small business concern participating in the HUBZone joint venture must provide ES3 with a separate signed copy of the HUBZone representation.

Notice Regarding Misrepresentations. Under 15 U.S.C. 645(d), any person who misrepresents a firm’s status as a business concern that is small, HUBZone small, small disadvantaged, service-disabled veteran-owned small, economically disadvantaged women owned small, or women-owned small eligible under the WOSB Program in order to obtain a subcontract or Purchase Order pursuant to the Small Business Act or any other provision of Federal law, may be subject to penalties and remedies imposed by the United States Government as described below –

(6) Be punished by imposition of fine, imprisonment, or both:

(7) Be subject to administrative remedies, including suspension and debarment; and

(8) Be ineligible for participation in programs conducted under the authority of the Act.



Section C – Quality and Compliance Assertions

Section C – Part I: Certificates and Approvals

(a) Offeror Quality Programs

Is **Offeror** ISO or AS Certified (check only one box): Yes No

If **Yes**, please indicate the following:

Specific ISO/AS Certification(s): _____

Quality Manager’s name/email: _____

Quality level: _____

Offeror hereby certifies to the adequacy of the business systems below. Please check Adequate, Inadequate, or Not Reviewed. For systems deemed Adequate or Inadequate, please list the Date of Review and Reviewing Agency (e.g. January 1, 202X, DCMA San Diego).

Business System	Adequate	Inadequate	Not Reviewed	Date/Agency (if reviewed)
Accounting System				
Estimating System				
Material Management and Accounting System				
Property Management System				
Contractor Purchasing System				
Earned Value Management System				

Section C – Part I: Assertions

(b) U.S. Department of State Directorate of Defense Trade Controls (“DDTC”) Registration Representation (see Code of Federal Regulations Title 22, Part 122 (22 CFR part 122) and Part 129 (22 CFR part 129))

Select only ONE of the following:

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



Section C – Certification and Signature of Offeror

Certification of Offeror or Offeror’s Authorized Representative:

By submitting this information, I am attesting to the accuracy of the information contained herein. I understand that I may be subject to penalties imposed by the United States Government if I misrepresent any of the representations or certifications herein. **Offeror** further acknowledges that ES3 shall rely on the information provided by **Offeror** herein and that if any of **Offeror’s** representations herein change during the period of performance, **Offeror** shall provide immediate written notice to the ES3 representative to whom this document was originally provided.

Signature of **Offeror**

Offeror Firm/Company Name

Printed Name and Title of Above Signatory
authorized to bind the company

Address: _____

Date: _____

Telephone: _____

Facsimile: _____

Email: _____