Ultra Electronics Ocean Systems Inc. (UEOS) provides products and services to the United States Department of Defense (DoD) that are classified as “defense articles”, “defense services” or “technical data” under category XI of the United States Munitions List. Therefore, UEOS and its partners, teammates, suppliers, subcontractors, etc. (hereinafter referred to as “supplier”) are subject to the requirements of the International Traffic in Arms Regulations (ITAR).

The following certification checklist establishes the requirements and constraints that are placed on UEOS’s suppliers by the ITAR and must be completed by every individual or business that is in, or seeks to enter, a supplier relationship with UEOS. Once completed, the checklist certification statement **must be completed and signed** by the **individual and/or corporate officer (e.g. President) exercising primary management responsibility for the supplier** business entity.

|  |  |  |
| --- | --- | --- |
| **Checklist Element** | **Yes** | **No** |
| Business: Business is located in and/or incorporated or organized to do business in the United States.Individual: Individual is a US Citizen or is a lawful permanent resident of the United States.**If no, state country of residence/incorporation: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_.** | [ ]  | [ ]  |
| Is Supplier located in an Embargoed or prohibited country, (refer to <http://pmdtc.org/country.htm> for a list of Embargoed and prohibited countries)? | [ ]  | [ ]  |
| Supplier is an international organization and/or directly represents a non-US foreign government or foreign government agency.**If yes, state country/government agency:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_. | [ ]  | [ ]  |
| Is Supplier debarred, suspended or proposed for debarment from participating directly or indirectly in the export of defense articles per Section 38 of the Arms Export Control Act, (refer to <http://pmdtc.org/debar059.htm> for a list of debarred entities)? | [ ]  | [ ]  |
| If located in Canada, is Supplier a “Canadian-registered person”? **NOTE:** For the purposes of this certification, a “Canadian-registered person” is any Canadian national (including a Canadian business entity organized under the laws of Canada), dual national and/or permanent resident registered in Canada in accordance with the Canadian Defence Production Act. **If so registered, attach a copy of your “Controlled Goods Registration Program” Certificate of Registration to this checklist.**  | [ ]  | [ ]  |
| Supplier currently employs or plans to hire individuals who are not US Citizens or lawful permanent residents of the United States.**If yes, list countries of origin for non-resident employees**: \_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | [ ]  | [ ]  |
| Are one or more of the above employee countries of origin included on the Embargoed or prohibited countries list at <http://pmdtc.org/country.htm>?  | [ ]  | [ ]  |
| If located in Canada, Supplier currently employs or plans to hire individuals who are not Canadian nationals, dual nationals and/or permanent residents registered in Canada.**If yes, list countries of origin for non-resident employees: \_\_\_\_\_\_\_\_\_\_\_\_****\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_** | [ ]  | [ ]  |
| Are one or more of the above employee countries of origin included on the Embargoed or prohibited countries list at <http://pmdtc.org/country.htm>? | [ ]  | [ ]  |
| Supplier agrees to provide immediate written notice to UEOS if, at any time prior to or after Purchase Order award, the Supplier learns that one or more of the above checklist responses was erroneous when submitted or has become erroneous by reason of changed circumstances. | [ ]  | [ ]  |

***"If your firm is Registered with the Directorate of Defense Trade Controls (DDTC, please provide :***

***ODTC Registration#\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Exp Date:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_***

***If you are not supplying your ODTC Registration number, please submit a copy of your registration letter (with the registration # concealed if you so choose) showing the current expiration.***

I certify that all of the facts contained in this checklist are true and correct to the best of my knowledge and belief and I do not know of any additional facts that are inconsistent with this checklist. I also certify that no corrections, additions or alterations were made on this form after my signature was applied.

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

Printed Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Title: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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

SEND RESPONSE TO: purchasing@ultra-os.com or specific requestor email.