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ANNUAL BUSINESS CERTIFICATION (ABC)

UPON COMPLETION OF THIS FORM, RETURN TO: YOUR LOCAL BUYER OR AEROJET ROCKETDYNE
9001 Lurline Avenue, Chatsworth, CA 91311-6122
Attention: Supplier Maintenance Team
E-Mail address: SupplierMaintenance@Rocket.com

FOR INTERNAL COMPANY USE ONLY:

ASSIGNED SUPPLIER NUMBER:

APPLICABILITY TO SELLERS: This ABC is required of all Sellers to Aerojet Rocketdyne Holdings, Inc. (AR Holdings), Aerojet Rocketdyne Inc. (AR), Aerojet Ordnance Tennessee, Inc. (AOT), and/or Easton Development Co., LLC (Easton) (collectively referred to herein as "Company"). Any individual or entity paid by Company is considered a Supplier (or "Seller").

- In order to be eligible for award of a Purchase Order/Agreement (herein referred to as "PO") from Company, this ABC must be completed fully and returned in response to a Company solicitation (commonly known as a Request for Quotation (RFQ)) or prior to PO award, if not already on file.
- Information provided on this form is subject to verification, including but not limited to, IRS Tax Identification Number (TIN) Matching.
- False, misleading or incorrect representations or certifications constitute material representations of facts upon which Company places reliance when awarding a PO.
- If it is determined that the Seller knowingly rendered a false, misleading or erroneous certification, in addition to other remedies available to Company, the Buyer may terminate POs for default resulting from it.
- This ABC is required to be submitted at least **annually**. The annual renewal may be determined by the **earlier** of:
 - the date by which Seller's authorized representative certifies and dates the ABC; or
 - the date of expiration of any required registration with the Directorate of Defense Trade Controls (DDTC);
- If, at any time after award of a PO, Seller discovers that any information contained in the ABC is erroneous or has changed, it must provide **immediate written notice** to Company at the address shown above. Submit an updated ABC to show the changed information.

INSTRUCTIONS: (DOUBLE CLICK TO ENTER "X" IN BOXES)

- Seller Name/Address:** Enter address where Company will send POs. If you have multiple locations with a single common remittance account, use the address where Company should send correspondence.

SECTION 1. SELLER PROFILE

SELLER Legal Name:		Parent Co. Legal Name (if any):	
Secondary/Trade Name/DBA:		Secondary/Trade Name/DBA:	
Physical Street Address (Line 1)		Street Address (Line 1)	
Physical Street Address (Line 2)		Street Address (Line 2)	
City/State/9 Digit ZIP Code (or Foreign Province, if any):		City/State/9 Digit ZIP Code (or Foreign Province, if any):	
County		Country	
Country Code (2 letter code): Where Registered/Incorporated:		Country Code (2 letter code): Where Registered/Incorporated:	
Unique Entity Identifier (formerly DUNS #):		Parent Co. Unique Entity ID (formerly DUNS #):	
CAGE/NCAGE No. (or "Unknown")		Parent Co. CAGE/NCAGE No.:	
Seller's Congressional District (Not District of Parent Co.):			
Seller is Current GIDEP Member? (NOTE: Gov't Industry Data Exchange Program membership may be required.)	<input type="checkbox"/> Yes <input type="checkbox"/> No		
Payment Remit Address (Line 1) if different from Seller Address		Principal Performance Location (Line 1) if different from Seller Physical Address	
Payment Remit Address (Line 2) if different from Seller Address		Principal Performance Location (Line 2) if different from Seller Address	
City/State/9 Digit ZIP Code: (or Foreign Province, if any):		City/State /9 Digit ZIP Code: (or Foreign Province, if any):	
Country Code (2 letter code):		Country Code 2 letter code):	
Contact Information - Please provide Business/Sales contact.		Email for Official Correspondence:	
Contact Name & Title/Role:		Contact's Email Address:	
Contact's Telephone Number (Area Code and/or Country Call Code):		Contact's FAX Number:	
<input type="checkbox"/> Seller IS incorporated or organized to do business in the United States.	<input type="checkbox"/> Seller IS NOT incorporated or organized to do business in the United States.		



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SECTION 1. SELLER PROFILE, Continued

IDENTIFICATION OF AFFILIATES AND PREDECESSOR ENTITIES. (All Sellers are required to complete this Section.)

Seller shall identify any predecessor entity or affiliates that held a federal contract or grant within the last three years as defined in Federal Acquisition Regulation (FAR) 52.204-20, Predecessor of Offeror, or FAR 52.204-17, Ownership or Control of Offeror.

(a) **Definitions.** As used in this provision—

1) **Commercial and Government Entity (CAGE) Code** means—

- A. (1) An identifier assigned to entities located in the United States and its outlying areas by the Defense Logistics Agency (DLA) Commercial and Government Entity (CAGE) Branch to identify a commercial or government entity, or
- B. (2) An identifier assigned by a member of the North Atlantic Treaty Organization (NATO) or by NATO's Support and Procurement Agency (NSPA) to entities located outside the United States and its outlying areas that DLA Commercial and Government Entity (CAGE) Branch records and maintains in the CAGE master file. This type of code is known as a NATO CAGE (NCAGE) code.

2) **Predecessor** means an entity that is replaced by a successor and includes any predecessors of the predecessor.

3) **Successor** means an entity that has replaced a predecessor by acquiring the assets and carrying out the affairs of the predecessor under a new name (often through acquisition or merger). The term "successor" does not include new offices/divisions of the same company or a company that only changes its name. The extent of the responsibility of the successor for the liabilities of the predecessor may vary, depending on State law and specific circumstances.

(b) The Seller represents that it is OR is not a successor to a predecessor that held a Federal contract or grant within the last three years.

(c) If the Seller has indicated "is" in paragraph (b), enter the following information for all predecessors that held a Federal contract or grant within the last three years. (If more than one, list in reverse chronological order; if additional space is needed, submit an attachment.)

CAGE Code (or mark "Unknown"):		Legal Name (Do not use "doing business as" name):	
CAGE Code (or mark "Unknown"):		Legal Name (Do not use "doing business as" name):	
CAGE Code (or mark "Unknown"):		Legal Name (Do not use "doing business as" name):	
CAGE Code (or mark "Unknown"):		Legal Name (Do not use "doing business as" name):	

SECTION 2. TAXPAYER INFORMATION

Purpose of Information: Taxpayer Information section must be completed by Seller for payments to be issued, including Employer/Taxpayer Identification Number (or Social Security Number), or Seller may substitute IRS Form W-9. Company is required to file IRS Form 1099 annually with the IRS disclosing reportable payments issued to select suppliers. The information supplied in this section will enable Company to determine whether Company is required to report any payments issued to Seller during the reporting year.

Non-resident Alien and Foreign Entities do not need to complete this section. IRS FORM W-9 MUST BE ATTACHED for ALL US Sellers.

Non-resident Alien: Complete and attach IRS Form W-8.

Foreign Entities: Complete and attach IRS Form W-8BEN-E.

Taxpayer Identification Number (TIN): _____

Type of Business: Indicate the legal status of your business (below).

Corporation Partnership S Corporation Sole Proprietor – Enter SSN: _____

Limited Liability Corp. (LLC) Other (Tax Exempt Organization or Government Entity): _____

Tax Reporting Address (Optional) - If applicable, IRS Form 1099 is sent to the Payment Remit Address in Section 1. If an alternate tax reporting address is preferred, enter it below.

Address: _____

City: _____ State: _____ Zip + 4 *Req'd. _____

1099 **1099 RECIPIENT** (Check One - Not required for Corporations) Call Accounting for 1099 Information

01 **Rents** (Exclude Corporations)

03 **Other Income** (Retiree, Beneficiary etc.)

06 **Medical & Health** (Include Corporations)

07 **Non-Employee Compensation** (Exclude Corporations)

07 **Other Services** (Legal, Consultants, Accounting, Maintenance, Engineering, Etc.)



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SECTION 3. PAYMENT INFORMATION

Seller Preferred Payment Method: Electronic Payment (via ACH); Mailed Check; Wire Transfer (Req'd for Foreign Firms)

Select Payment Currency: USD (Co. Preferred); EUR; GBP; JPY; Other

Bank Name:			
Address (Line 1)			
Address (Line 2)			
City/State		ZIP+4	
Title on Account:			

Supplier Remittance Advice Email Address – Required for ACH Payment:

Bank Routing/ABA No. (9 Digits) ACH Info.	Bank Account No.	Payment Terms	Type of Account
			<input type="checkbox"/> Checking <input type="checkbox"/> Savings

SECTION 4. SELLER'S REPRESENTATIONS AND CERTIFICATIONS

SELLER ETHICS/CODE OF BUSINESS CONDUCT. (Applies to All Sellers)

Seller will ensure that its employees performing under any PO with Company comply with the Seller's established Code of Conduct. If Seller does not have a Code of Conduct, they will adopt one and may use Company's Code of Conduct for Sellers posted on the internet at this link: [Supplier Code of Conduct](#) (in SupplierNet section at www.rocket.com).

CERTIFICATION OF NON-SEGREGATED FACILITIES. (FAR 52.222-21) (FEB 1999) (Equal Employment Opportunity (EEO) Applies to All Sellers)

- (a) Segregated facilities, as used in this clause, means any waiting rooms, work areas, rest rooms and wash rooms, restaurants and other eating areas, time clocks, locker rooms and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation, and housing facilities provided for employees, that are segregated by explicit directive or are in fact segregated on the basis of race, color, religion, sex, or national origin because of written or oral policies or employee custom. The term does not include separate or single-user rest rooms or necessary dressing or sleeping areas provided to assure privacy between the sexes.
- (b) Seller agrees that it does not and will not maintain or provide for its employees any segregated facilities at any of its establishments, and that it does not and will not permit its employees to perform their services at any location under its control where segregated facilities are maintained. Seller agrees that a breach of this clause is a violation of the Equal Opportunity clause in any PO received from Company.

CERTIFICATION OF PREVIOUS CONTRACTS AND COMPLIANCE REPORTS (FAR 52.222-22) (FEB 1999)

(Seller must complete paragraph (a) and (b) below) Seller represents that —

- (a) It has, [or] has not participated in a previous contract or subcontract subject to the Equal Opportunity clause; and
- (b) It has, [or] has not filed all required compliance reports.

EXPORT OF TECHNICAL DATA OR HARDWARE CERTIFICATION.

Seller represents and warrants that no technical data or hardware furnished to it by Company (whether as part of any RFQ, PO, or other written or verbal communication) or derived by the Seller from such data or hardware, will be disclosed to any foreign person, firm or country, including foreign persons within the United States, without first complying with the licensing, approval, and all other requirements of the U.S. export control laws, regulations, and directives, including but not limited to International Traffic in Arms Regulations ("ITAR") (22 CFR 120-130) which regulates temporary imports of Defense Articles; Export Administration Regulations ("EAR") (15 CFR Part 730-774); Regulations administered by the U.S. Treasury Department's Office of Foreign Assets Control ("OFAC") (31 CFR Part 500-598); Regulations administered by the U.S. Department of Justice, Bureau of Alcohol, Tobacco, Firearms, and Explosives ("BATFE") found in 27 CFR Chapter II, (Parts 447, 478, 479 & 555) which regulates Permanent Imports of USMIL defense articles; OFAC (Title 31, Subtitle B, Chapter V, Part 500-599 & Appendix A) which addresses country sanctions; Foreign Trade Regulations ("FTR") (15 CFR Part 30) which regulates imports and is administered by the Census Bureau; All other applicable U.S. Government regulations relating to the importation of goods into the United States (including, but not limited to, the regulations administered by the U.S. Customs and Border Protection ("CBP") at 19 CFR 0 et seq. and other import regulations promulgated by other U.S. agencies which may be enforced by CBP), and laws and regulations of other countries, (collectively "export control laws and regulations").

DDTC REGISTRATION.

- (a) Seller is now or has been [or] is not now and has never been an exporter **OR** provider of defense services, **OR** an exporter **OR** manufacturer of defense articles. Defense articles include components, parts, accessories, attachments and associated equipment that are specifically designed, developed, configured, adapted or modified for a military application.
- (b) Seller has [or] has not registered with the Directorate of Defense Trade Controls (U.S. State Department) pursuant to 22 C.F.R. §122.1(a) and is cognizant of the requirements of the International Traffic in Arms Regulation (22 C.F.R. §120-130).

IF DDTC REGISTERED, PROVIDE EXPIRATION DATE OF REGISTRATION: _____



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CERTIFICATION REGARDING DEBARMENT FROM PARTICIPATING IN THE EXPORT OF DEFENSE ARTICLES, DEFENSE SERVICES AND RELATED TECHNICAL DATA. (22 U.S.C. 2778(g)) ***(Applies to All Sellers)***

Seller certifies, to the best of its knowledge and belief, that the Seller and/or any of its Principals:

- (a) Are [or] Are not debarred, suspended, proposed for debarment, or declared ineligible to participate in exports by any Federal agency.
- (b) Have [or] Have not been indicted for or convicted of violating any of the following Federal statutes:
1. Section 38 of the Arms Export Control Act (22 U.S.C. 2778);
 2. Section 11 of the Export Administration Act of 1979 (50 U.S.C. app. 2410);
 3. Sections 793, 794, or 798 of title 18, United States Code (relating to espionage involving defense or classified information) or § 2339A of such title (relating to providing material support to terrorists);
 4. Section 16 of the Trading with the Enemy Act (50 U.S.C. app. 16);
 5. Section 206 of the International Emergency Economic Powers Act (relating to foreign assets controls; 50 U.S.C. 1705);
 6. Section 30A of Securities Exchange Act of 1934 (15 U.S.C. 78dd-1) or section 104 of the Foreign Corrupt Practices Act (15 U.S.C. 78dd-2);
 7. Chapter 105 of title 18, United States Code (relating to sabotage);
 8. Section 4(b) of the Internal Security Act of 1950 (relating to communication of classified information; 50 U.S.C. 783(b));
 9. Atomic Energy Act of 1954, Sections 57, 92, 101, 104, 222, 224, 225, or 226 (42 U.S.C. 2077, 2122, 2131, 2134, 2272, 2274, 2275, & 2276);
 10. Section 601 of the National Security Act of 1947 (relating to intelligence identities protection; 50 U.S.C. 421);
 11. Section 603(b) or (c) of the Comprehensive Anti-Apartheid Act of 1986 (22 U.S.C. 5113(b) and (c));
 12. Section 371 of title 18, United States Code (when it involves conspiracy to violate any of the above statutes); or
 13. Sections 3, 4, 5, and 6 of the Prevention of Terrorist Access to Destructive Weapons Act of 2004, relating to missile systems designed to destroy aircraft (18 U.S.C. 2332g), prohibitions governing atomic weapons (42 U.S.C. 2122), radiological dispersal services (18 U.S.C. 2332h), and Variola Virus (18 U.S.C. 175b).

CERTIFICATION REGARDING RESPONSIBILITY MATTERS. (FAR 52.209-5) (AUG 2020) ***(Seller Must Complete all Subsections below.)***

Seller certifies, to the best of its knowledge and belief, that:

- (i) Seller and/or any of its Principals ---
- (A) Are [or] Are not presently debarred, suspended, proposed for debarment, or declared ineligible for the award of contracts by any Federal agency
- (B) Have [or] Have not within a three-year period been convicted of or had a civil judgment rendered against them for:
- Commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, state, or local) contract or subcontract;
 - Violation of Federal or state antitrust statutes relating to the submission of offers; or
 - Commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, or receiving stolen property.
- (C) Are [or] Are not presently indicted for, or otherwise criminally or civilly charged by a governmental entity with, commission of any of the offenses enumerated in paragraph (B).
- (D) Have [or] Have not , within a three-year period preceding this offerany transaction, been notified of any delinquent Federal taxes in an amount that exceeds \$10,000 for which the liability remains unsatisfied.
- (ii) Seller has [or] has not within a three-year period, had one or more contracts terminated for default by any Federal agency. "Principals," for the purposes of this certification, means: officers; directors; owners; partners; and, persons having primary management or supervisory responsibilities within a business entity (e.g., general manager, plant manager; head of a subsidiary, division, or business segment, and similar positions).

CYBERSECURITY. ***(Applies to All Sellers)***

- (a) Seller shall apply reasonable and appropriate safeguards and operations to protect information provided by Company to Seller against accidental and unlawful destruction, alteration, and unauthorized or improper disclosure or access regardless of whether such information is on Seller's internal systems or a cloud environment. Any information provided by Company to Seller identified as proprietary or subject to restrictions on public disclosure by law or regulation shall be encrypted (i) if transmitted via the Internet, or (ii) during electronic storage if potentially accessible by the Internet or otherwise by non-authorized users.
- (b) If included in this PO, FAR 52.204-21 applies to Federal Contract Information, DFARS 252.204-7012 applies to Covered Defense Information, or NASA FAR Supplement 1852.204-76 applies to NASA Electronic Information, as those terms are defined in the respective clauses.
- (c) If Seller becomes aware of any compromise of information used in the performance of a PO or provided by Company to Seller, its officers, employees, agents, suppliers, or subcontractors (an "Incident"), Seller shall take appropriate immediate actions to investigate and contain the Incident and any associated risks, including notification within seventy-two (72) hours to Company after learning of the Incident. "Compromise" as used in this clause means that information has been exposed to unauthorized access, inadvertent disclosure, known misuse, loss, destruction, or alteration other than as required to perform the Work. At Seller's expense, Seller shall (i) immediately investigate any Incident, (ii) make all reasonable efforts to secure Sensitive Information and mitigate the impact of the Incident, (iii) provide timely and relevant information to Buyer about the Incident on an ongoing basis, and (iv) cooperate as applicable with Buyer to provide notice to affected third parties.
- (d) Failure to report or provide these notices shall be considered a material breach of a PO. These requirements are in addition to and do not alter, change or supersede any obligations contained in any PO or imposed by local, federal, state or other governmental agencies or departments.



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CYBERSECURITY MATURITY MODEL CERTIFICATION (CMMC).

CMMC is governed by DFARS 252.204-7021. For additional information, see Aerojet Rocketdyne SupplierNet Cybersecurity webpage at www.rocket.com

N/A = Not a DoD Supplier, OR not applicable if supplying only Commercial Off-the-Shelf (COTS) Goods or Services.

For DoD suppliers, do you intend to pursue CMMC? Yes or No. If "No," explain why: _____

PROTECTION OF INFORMATION UNDER GOVERNMENT PROGRAMS INCLUDING "CONTROLLED UNCLASSIFIED INFORMATION (CUI)".

Seller, if notified their personnel may require access to technical data or program data obtained, created, developed, conceived or specifically used in support of a Missile Defense Agency (MDA) program (herein deemed "CUI"), is required to: (1) Submit a written description of their personnel background screening process for review and approval by the MDA before allowing personnel without a SECRET security clearance access to CUI; and immediately notify the Company Buyer in the event of a change in any MDA-approved background screening process. (2) Continuously monitor and identify those individuals who require access to CUI, and for all such individuals who are dual citizens, transmit results of the background screening process to Company Security and receive approval from MDA prior to allowing such dual citizen(s) access to CUI.

PROTECTION OF PERSONAL INFORMATION. (Applicable Only to Services Involving the Collection and Processing of Personal Information from California Residents)

To the extent Seller receives or has access to personal information, as defined in the California Consumer Protection Act (the "CCPA"), of or relating to California residents, Seller is prohibited from selling, retaining, using, or disclosing the personal information for any purpose other than for the specific purpose of performing the services specified in the PO for the business, or as otherwise permitted by the CCPA, including retaining, using, or disclosing the personal information for a commercial purpose other than providing the services specified in the PO.

CONFLICT MINERALS COMPLIANCE.

In accordance with Company's conflict minerals policy, suppliers are expected to supply "DRC conflict-free" materials. The term "DRC conflict-free" means (1) that a product does not contain any tantalum, tin, tungsten or gold (3TGs) necessary to the functionality or production of that product that directly or indirectly finance or benefit armed groups in the Democratic Republic of the Congo or an adjoining country; or (2) such 3TGs were obtained from recycled or scrap sources. Upon request by the Company, the Seller will annually provide information about the presence and sourcing of 3TGs used in the products supplied to the Company. The Seller may use the current Conflict-Free Sourcing Initiative's Conflict Minerals Reporting Template (CMRT) which can be found online or complete an annual survey provided by Company or its third-party reporting entity.

PROHIBITED SUBCONTRACTORS: KASPERSKY, HUAWAI, ZTE.

In accordance with Public Law 115-91 and FAR 52.204-23, Prohibition on Contracting for Hardware, Software, and Services Developed or Provided by Kaspersky Lab and Other Covered Entities (JUL 2018), and Public Law 115-232 and FAR 52.204-25, Prohibition on Contracting for Certain Telecommunications and Video Surveillance Services or Equipment (AUG 2020), you are required to provide certain information regarding prohibited products.

1. Does your business use any equipment, system, or services that uses covered telecommunications equipment or services (as defined in FAR 52.204-25) as a substantial or essential component of any system, or as critical technology as part of any system? Yes No
2. Does your business use any covered article (as defined in FAR 52.204-23) in the development of data or deliverables first produced in performance of your contracts with Company? Yes No

EXECUTIVE COMPENSATION CERTIFICATION. (FAR 52.204-10)

In accordance with Public Law 109-282 and FAR 52.204-10, **REPORTING EXECUTIVE COMPENSATION FOR FIRST-TIER SUBCONTRACT AWARDS (JUN 2020)**, you are required to provide certain information pertaining to compensation of executives in order to be eligible for any subcontract award. Answer the following question(s) in connection with this requirement:

1. Did your organization in the previous tax year have gross income from all sources over \$300,000? Yes No
 - If you answered "No" to question 1, you are exempt from this requirement. Table 1 is not required but submit the completed/signed ABC form.
 - If you answered "Yes," please answer questions 2-4, in this section, below:
2. Did your company receive 80% or more of its annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements in the preceding fiscal year? Yes No
3. Did your company receive \$25,000,000 or more in annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements in the preceding fiscal year? Yes No
4. Does the public **NOT** have access to information about the compensation of your company's executives through periodic reports filed under 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986? (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filing at <http://www.sec.gov/answers/excomp.htm>) Yes No

If the answers to questions 1, 2, 3 and 4 are all "Yes," you are required to provide the names and total compensation of each of the five most highly compensated executives in your organization as part of this certification, and on an annual basis for the life of any resulting subcontract. Provide this compensation information in **Table 1** (shown below or provide an attachment). Please note that as required by public law and FAR 52.204-10(b), Company will report this information to the government, and this information will be made public. Further, please note your continuing obligation to immediately notify Company in writing of any changes to previously reported data.



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TABLE 1 – EXECUTIVE COMPENSATION DATA (TOP FIVE EXECUTIVES)

Executive Name/Title	Total Compensation (as defined in FAR 52.204-10(a))

SECTION 5. BUSINESS SIZE/SOCIOECONOMIC INFORMATION

Size standards are available at <https://www.sba.gov/federal-contracting/contracting-guide/size-standards#section-header-0> Small Business category definitions and qualifications are at FAR Part 19.7 or Clause 52.219-8, available on line at www.acquisition.gov/far/
Misrepresentation of business size is a federal crime governed by 15 U.S.C. 645(d), and punishable by (i) imposition of fine, imprisonment, or both; (ii) imposition of administrative remedies, including suspension and debarment; and, (iii) determination of ineligibility for participation in programs conducted under the Act.

Check all that apply: We encourage you to register at www.sam.gov

<input type="checkbox"/> Foreign-Owned Business	<input type="checkbox"/> Historically Black College or University/Minority Institution (HBCU/MI)
<input type="checkbox"/> LARGE BUSINESS	<input type="checkbox"/> HUBZone: Must be CERTIFIED by the SBA (www.sba.gov) and listed in System for Award Management at: www.sam.gov . <i>Provide copy of certificate.</i>
<input type="checkbox"/> ABILITY ONE FIRM	<input type="checkbox"/> Self-Certified Woman-Owned Small Business
<input type="checkbox"/> SMALL BUSINESS. If this response is selected, please identify any additional designation(s) from the remaining choices:	<input type="checkbox"/> Certified Woman-Owned Small Business - Must be CERTIFIED by the SBA (www.sba.gov) and listed in System for Award Management at: www.sam.gov .
<input type="checkbox"/> Self-Certified Small Disadvantaged Business (SDB).	<input type="checkbox"/> Economically Disadvantaged Woman-Owned Small Business (EDWOSB)
<input type="checkbox"/> 8(a) Certified Disadvantaged Business (If selected, check SDB box too.)	<input type="checkbox"/> Veteran-Owned Small Business (VOSB)
<input type="checkbox"/> Alaskan Native Corporation (ANC) Owned Firm / Indian Tribe (If selected, check SDB box too.)	<input type="checkbox"/> Service Disabled Veteran-Owned Business (SDVOB) (If selected, check VOSB too.)
<input type="checkbox"/> Indian-Owned Enterprise	<input type="checkbox"/> Non-Profit per IRS Code, Section 501(c)x

NAICS CODES: List all North American Industry Classification System (NAICS) codes you sell to Company in order of sales volume. See (SBA.gov [NAICS Codes and Size Standards](#)). **For each NAICS code listed, provide corresponding business size (Large or Small) and Size Standards as established by the SBA in either millions of US dollars OR number of employees. Do not enter number of YOUR employees/sales dollars.**

NAICS	SIZE (LG/SM)	SIZE STD. (\$Mil or # Employees)	NAICS	SIZE (LG/SM)	SIZE STD. (\$Mil or # Employees)

SECTION 6. SELLER SIGNATURE AND CERTIFICATION

CERTIFICATION INSTRUCTIONS. This document must be submitted by all Sellers to Company at least annually. For real estate transactions, item 2 below does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement account (IRA), and generally, payments other than interest and dividends, you are not required to sign the Certification, but you must provide your correct TIN.

This ABC contains various representations and certifications of Seller. **Under penalties of perjury, I certify that:**
1. The Taxpayer Identification Number shown on this form is my correct number (or I am waiting for a number to be issued to me).
2. **AND** I am a U.S. citizen or other U.S. person or if not, I am authorized to provide information required on this form.
3. **AND** I certify that I have read and understood the ABC, and that all statements herein are true and correct to the best of my knowledge and belief.
These representations and certifications shall be valid for RFQs and POs issued by Company for one year from the date of the signature below, the date of any DDTC registration, the date of any CMMC registration, or until the information presented on these representations and certifications changes, whichever occurs first. **Signature below concerns a matter within the jurisdiction of an agency of the United States and the making of a false, fictitious or fraudulent certification may render the maker subject to prosecution under Section 1001, Title 18, United States Code.**

SELLER agrees to promptly notify Company if any information changes that is subject to certification.

Authorized Seller Representative Signature:		Title:	
Authorized Seller Representative Printed Name:		Date:	
Seller Comments:		Phone:	



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E-Mail address: SupplierMaintenance@Rocket.com

SECTION 7 – TO BE COMPLETED BY COMPANY REQUESTER (FOR INTERNAL USE ONLY)

Requested By (Internal Company Employee Name):	<input type="text"/>	Email:	<input type="text"/>	Phone:	<input type="text"/>
Operating Units the Supplier Supports:	Select all that apply: <input type="checkbox"/> AR Holdings; <input type="checkbox"/> AR; <input type="checkbox"/> Easton LLC; <input type="checkbox"/> AOT				
Potential Conflict of Interest?	<input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> Not Sure If Yes or Not Sure, Explain Below**				
**Per Company Policy, if internal Company personnel responded Potential Conflict of Interest Yes or Not Sure, explain:					
<input type="text"/>					

SECTION 8 – TO BE COMPLETED BY COMPANY APPROVER (FOR INTERNAL USE ONLY)

INSTRUCTIONS: Submit NEW supplier add request to New Supplier workflow for review and approval. Use Jump Word ADDNEW to submit. For Changes requested by AR personnel or the Seller, Company management approval is required on this form:

SCMM Manager Approval:	<input type="checkbox"/> APPROVED OR <input type="checkbox"/> NOT APPROVED (If not approved, provide reason in Approver Comments field, below)				
Signature:	<input type="text"/>	Printed Name:	<input type="text"/>	Review Date:	<input type="text"/>
Approver Comments:	<input type="text"/>				

SECTION 9 – TO BE COMPLETED BY COMPANY'S SUPPLIER ADMINISTRATOR (FOR INTERNAL USE ONLY)

Purpose (Maestro):	<input type="checkbox"/> Purchasing and/or <input type="checkbox"/> Pay <input type="checkbox"/> RFQ ONLY				
Supplier Category	<input type="checkbox"/> Direct		<input type="checkbox"/> Indirect		<input type="checkbox"/> Both Direct & Indirect
ABC Date	<input type="text"/>	ABC Expiration Date:	<input type="text"/>	DDTC Expiration Date:	<input type="text"/>
				CMMC Expiration Date:	<input type="text"/>
New Supplier Add Workflow Approval:	<input type="checkbox"/> Yes. <input type="checkbox"/> No		Date:	<input type="text"/>	
Entered By:	<input type="text"/>		Date:	<input type="text"/>	
Comments:	<input type="text"/>				