

INFORMATION CONCERNING FOREIGN  
OWNERSHIP, CONTROL, OR INFLUENCE (6-94)

(a) The attached questionnaire entitled "Foreign Ownership, Control, or Influence Over Offeror" and the attached form entitled "List of Owners, Officers, Directors, and Executive Personnel" must be completed by the offeror and the offeror's parent companies, if any. The questionnaire must be signed by an "authorized official"; e.g., an official identified in the organization's Articles of Incorporation or By-Laws as responsible for managing the business affairs of the organization, or any other employee, identified by name, of the organization if designated in writing by such an authorized official as having been delegated authority to execute FOCI representations and certification on behalf of the organization. [A DOE document entitled "Guidelines for Completing the FOCI Certification" is also attached. This document provides instructions for completing the questionnaire and specifies supporting documents that must be returned with completed questionnaires. Offerors are cautioned that the "List of Owners, Officers, Directors, and Executive Personnel" form and certain financial data must be submitted even if all questions on the questionnaire are answered in the negative.]

(b) As stated in the DOE "Guidelines" document, DOE requires audited information of the offeror's most recently completed fiscal year. However, if the offeror does not routinely purchase an audit of its end-of-year financial report(s) or otherwise cannot provide an audited financial report for its most recently completed fiscal year, then DOE requires an unaudited financial statement and balance sheet and a certified statement on the offeror's letterhead, signed by the same person who executed the FOCI certification, addressing the following:

(1) How much, if any, business is done with foreign interest(s) located either in the U.S. or overseas?

(2) How much, if any, stock is owned by foreign nationals, their surrogates, or representatives (U.S. or foreign)? If any, give full name, nationality, country of birth, number of shares, and percentage of voting stock held by each.

(3) If any business is conducted with a foreign interest(s), is the interest indigenous to any of the countries on the Sensitive Countries list attached to the DOE "Guidelines" document? If any, how much of the offeror's annual income (percentage) comes from these sources; what raw materials, goods, products, or services are rendered; and is the nature of the foreign business defense-related or industrial/commercial?

(4) Does the offeror have accounts, loans, letters of credit, or other debtor instruments/relationships with foreign banks, financial institutions, etc., whether overseas, or U.S. branches of these foreign interests?

(5) Is the offeror engaged in the importing or exporting of raw materials, products, goods, or services? If so, indicate the materials/products/goods/services involved, the percentage of total business such activity represents, the amount of income received, and the percentage of total annual income this business represents.

(6) Does the offeror have any foreign nationals (non-U.S. citizens) in any position within the offeror's organization? If so, list each by name, visa number, and position. Provide details on how they will be (are) excluded from access to classified information or significant quantities of SNM. Also explain how any foreign national in a supervisory or management position will be (are) prevented from exerting influence or control over employees with access.

If the responses to any, or all, of the above questions are negative, a written certification showing each response is required.

(c) The offeror may either return the questionnaire(s), supporting documents, and forms with the offer or transmit them separately to:

Mr. W. A. Mynatt, Chief  
General Acquisitions Branch  
Department of Energy  
Oak Ridge Operations Office  
Post Office Box 2001  
Oak Ridge, Tennessee 37831-8756

identifying this solicitation in the transmittal letter. If the offeror sends the questionnaire(s), supporting documents, and forms to DOE, please so indicate in the offer.